



# FIRST THINGS FIRST

*The right system for bright futures*

**Arizona Early Childhood Development and Health Board  
First Things First Regional Office  
48 West Highway 264  
Quality Inn Office Complex, Suite 207  
Window Rock, Arizona 86515**

**Regulating Family Child Care Homes  
Navajo Nation Regional Partnership Council**

**Request for Grant Application (RFGA)  
FTF-RC001-11-0266-00**

<b>Deadline</b>	Grant Applications shall be submitted on or before 4:00 p.m. (Navajo Nation Time – 3:00 p.m. Arizona MST) on April 20, 2010 at First Things First Regional Office, 48 West Highway 264, Quality Inn Office Complex, Suite 207, Window Rock, Arizona 86515.
<b>Procurement Guidelines</b>	<p>In accordance with A.R.S §41-2701, competitive sealed grant Applications for the services specified within this document will be received by First Things First at the above-specified location until the time and date cited. Grant Applications received by the correct time and date will be opened and the name of each Applicant will be publicly read.</p> <p><b>Grant Applications must be in the actual possession of First Things First on or prior to the exact time and date indicated above. Telefaxed, electronic, or late grant Applications <u>shall not</u> be considered.</b></p> <p><b>Grant Applications must be submitted in a sealed envelope with the RFGA Number and the Applicant's name and address clearly indicated on the envelope.</b></p> <p>All Applications must be typewritten and a complete grant Application returned along with the offer by the time and date cited above. <b>Additional instructions for preparing a grant Application are included within this document.</b></p> <p>Applicants are strongly encouraged to read the entire Request for Grant Application document carefully.</p> <p><b>It is the sole responsibility of Applicants to check the First Things First website for any changes to this RFGA, <a href="http://azftf.gov">http://azftf.gov</a>.</b></p>
<b>Pre-Application Conference</b>	Prospective Applicants are encouraged to attend a Pre-Application Conference on March 26, 2010 at 2:00 p.m. (Navajo Nation Time – 1:00 p.m. Arizona MST) at First Things First Regional Office, 48 West Highway 264, Quality Inn Office Complex, Suite 207, Window Rock, Arizona 86515. The purpose of the meeting is to discuss and clarify this Request for Grant Application.
<b>Special Accommodations</b>	Persons with a disability may request reasonable accommodation such as a sign language interpreter by contacting the Grants and Contracts Procurement Specialist at <a href="mailto:grants@azftf.gov">grants@azftf.gov</a> or via Fax (602) 265-0009. Requests should be made as early as possible to allow time to arrange the accommodation.
<b>Contract Information</b>	<p><u>Service</u>: First Things First Regional Funding</p> <p><u>Contract Type</u>: Cost Reimbursement</p> <p><u>Contract Term</u>: The effective date of this Contract shall be the date that the First Things First designee signs the Offer and Acceptance form or other official contract form (estimated July 1, 2010) and shall remain in effect until June 30, 2011, unless terminated, cancelled or extended as otherwise provided herein.</p>
<b>Contact Information</b>	<p>Grants and Contracts Procurement Specialist</p> <p>First Things First</p> <p>Fax: (602) 265-0009</p> <p>Email: <a href="mailto:grants@azftf.gov">grants@azftf.gov</a></p>



## FIRST THINGS FIRST

*The right system for bright futures*

### CERTIFICATION

#### TO THE STATE OF ARIZONA, ARIZONA EARLY CHILDHOOD DEVELOPMENT AND HEALTH BOARD:

If awarded a grant, the Undersigned hereby agrees to all terms, conditions, requirements and amendments in this request for grant Application and any written exceptions, as accepted by the Arizona Early Childhood Development and Health Board in the Application.

#### APPLICANT OFFER

Arizona Transaction (Sales) Privilege Tax License No.: \_\_\_\_\_ Name of Point of Contact Concerning this Application: \_\_\_\_\_

\_\_\_\_\_ Name: \_\_\_\_\_

Federal Employer Identification No.: \_\_\_\_\_ Phone: \_\_\_\_\_ Fax: \_\_\_\_\_

\_\_\_\_\_ E-Mail: \_\_\_\_\_

\_\_\_\_\_ Signature of Person Authorized to Sign Offer

\_\_\_\_\_ Printed Name

\_\_\_\_\_ Title

By signature in the Offer section above, the Applicant certifies:

1. The submission of the Application did not involve collusion or other anti-competitive practices.
2. The Applicant shall not discriminate against any employee or Applicant for employment in violation of Federal Executive Order 11246, State Executive Order 99-4 or A.R.S. §41-1461 through §1465.
3. The Applicant has not given, offered to give, nor intends to give at any time hereafter any economic opportunity, future employment, gift, loan, gratuity, special discount, trip, favor, or service to a public servant in connection with the submitted offer. Failure to provide a valid signature affirming the stipulations required by this clause shall result in rejection of the offer. Signing the offer with a false statement shall void the offer, any resulting contract and may be subject to legal remedies provided by law.

#### ACCEPTANCE OF APPLICATION

The Application is hereby accepted. The Applicant is now bound to perform as stated in the Applicant's grant Application as accepted by the Arizona Early Childhood Development and Health Board and the Request for Grant Application document, including all terms, conditions, requirements, amendments, and/or exhibits.

This grant shall henceforth be referred to as Grant No. \_\_\_\_\_

Arizona Early Childhood Development and Health Board,  
Awarded this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_

\_\_\_\_\_  
Jeanne Weeks, Grants and Contracts Procurement Specialist

## Request for Grant Application Table of Contents

<b>What is the Arizona Early Childhood Development and Health Board (First Things First)?</b> <ul style="list-style-type: none"> <li>• What is the Funding Source?</li> <li>• Who is Eligible to Apply for this Funding Opportunity?</li> <li>• What is the Total Amount of Funding Available in this RFGA?</li> </ul>	Page 5
<b>Scope of Work: What Will This Grant Fund?</b>	Page 7
<b>How Will the Applications be Evaluated?</b>	Page 15
<b>Application: Responding to the Scope of Work</b> <ul style="list-style-type: none"> <li>• Executive Summary</li> <li>• Capacity for Addressing the Needs</li> <li>• Strategies</li> <li>• Implementation (Implementation Plan &amp; Budget)</li> <li>• Evaluation</li> </ul>	Page 15
<b>Instructions to Applicants</b>	Page 18
<b>Terms &amp; Conditions</b> <ul style="list-style-type: none"> <li>• First Things First Special Terms and Conditions</li> <li>• State of Arizona Uniform Terms and Conditions</li> </ul>	Page 23
<b>Checklist</b>	Page 34
<b>Attachments</b> <ul style="list-style-type: none"> <li>• To be completed and submitted with your Application</li> </ul>	Page 36
<b>Exhibits</b>	Page 53

## What is the Arizona Early Childhood Development and Health Board (First Things First)?

In November 2006, Arizona voters passed Proposition 203, also known as **First Things First**, a citizen's initiative that funds quality early childhood development and health at the state and local level. The Proposition created a new state level board known as the Arizona Early Childhood Development and Health (AzECDH) Board, also known as the Board of First Things First, and the Regional Partnership Councils.

### ***First Things First Mission***

The mission of First Things First is to increase the quality of, and access to, early childhood programs that will ensure a child entering school arrives healthy and ready to succeed. This mission will principally be achieved through regional grants tailored to the specific needs and characteristics of the communities that the regions serve, with a focus on demonstrating improved outcomes around First Things First's six goal areas prioritized by the challenges the regions face. This mission is also accomplished through statewide initiatives that have been prioritized by the Board of First Things First.

This statewide policy and regional perspective are critical to the success of the First Things First mission. Early childhood development and health system initiatives from First Things First will be coordinated through statewide initiatives and regional priorities.

### ***First Things First Goal Areas***

The First Things First initiative specifies that programs undertaken by the Arizona Early Childhood Development and Health Board and the Regional Partnership Councils are to accomplish one or more of the following Goal Areas:

- Improve the quality of early childhood development and health programs.
- Increase the access to quality early childhood development and health programs.
- Increase access to preventive health care and health screenings for children through age five.
- Offer parent and family support and education concerning early childhood development and literacy.
- Provide professional development and training for early childhood development and health providers.
- Increasing coordination of early childhood development and health programs and provide public information about the importance of early childhood development and health.

## What is the Funding Source?

The First Things First initiative provides for the distribution of funding through both statewide and regional grants.

Of the monies expended in a fiscal year from the First Things First program account, no more than ten percent may be used to fund statewide grants or programs. Statewide programs are considered those implemented across regional boundaries and are designed to benefit Arizona's children as a whole.

This Request for Grant Application is specifically dedicated to funding regional programs. Regional funding is based on the approval of the Regional Partnership Council funding plans submitted to the Board of First Things First.

The Regional Partnership Council that is involved in the release of this Request for Grant Application is the Navajo Nation Regional Partnership Council.

## **Who is Eligible to Apply for this Funding Opportunity?**

First Things First awards grants to:

- Non-profit 501 (c) (3) organizations providing services in Arizona (both secular and faith-based)
- Units of Arizona government (local, county and state entities as well as schools and school districts)
- Federally recognized Tribal governments or entities providing services within Arizona
- Arizona institutions of higher learning (colleges and universities)
- Private organizations providing services in Arizona

All potential Applicants must demonstrate organizational, fiscal and programmatic capacity to meet the requirements described in the scope of work listed in this RFGA.

## **What is the Total Funding Amount Available in this Request for Grant Application?**

This is a twelve (12) month contract for the fiscal year ending June 30, 2011 with an option for renewal for two (2) additional twelve (12) month periods. Total funds available are approximately \$275,000 for the first funding period. Applicants must demonstrate the ability to provide a 20% funding match (may be in-kind). First Things First reserves the right not to award the entire amount of available funds or to award an amount that is greater than the posted available funds. Renewal will be contingent upon satisfactory contract performance, evaluation and availability of funds. One or multiple awards may be made.

## **Scope of Work: What Will This Grant Fund?**

### **Strategy Overview**

This grant will fund an administrative home to work with new and existing child care homes in order to help providers improve the safety of the child care environment, enhance the quality of the care they provide, and become regulated.

The key elements of this strategy include:

- Support and training to new and existing child care homes, working toward compliance with the “Minimum Standards for Tribal Child Care, A Health and Safety Guide” (Exhibit A) and the requirements of the Child and Adult Care Food Program (CACFP).
- Support and funding of costs associated with child care homes attaining an Indian Health Sanitation Permit and a Navajo Nation Business Application.
- Support for continued quality improvement through application for Quality First and increased awareness and involvement with professional development opportunities.

### **Target Population**

The intended target population of this funding opportunity is new and existing, unregulated child care homes serving children birth through five years of age.

### **Geographic Boundaries**

The Navajo Nation Regional Partnership Council serves, and applications submitted in response to this RFGA must serve, the Navajo Nation within Arizona. Applicants are welcome to apply for one or all areas within the Region, and may apply to serve child care homes within the reservation boundaries in Navajo County, Apache County and/or Coconino County. Proposals may be inclusive of all isolated and remote locations as well as the more populated communities.

### **Assessment of Need**

The Navajo Nation has significant assets in the child care centers and homes that exist throughout the Nation. However, there are not enough centers and homes to provide for the number of young children in the region. The latest statistics show the Navajo Nation has a growing birth to age five population: from 11,302 children in 2004, and increasing to 12,132 children in 2007. The estimated capacity of all the child care centers and regulated child care homes within the Navajo Nation is approximately 3,200 children. This leaves about 8,000 young children and their families without the option of regulated child care, either in a center or a child care home. Many are able to rely on extended family and friends for caring for the youngest children. Many others, however, need quality child care but do not have access to it. The goal of this strategy is to increase the number of quality child care homes in order to better

serve the growing population of young children birth through age five and their families on the Navajo Nation.

### **Implementation Requirements**

This Request for Grant Application is seeking Applicants to address these specific Goals and Key Measures:

#### **First Things First Goal Area to be addressed:**

- Quality and Access

#### **First Things First Goal to be addressed:**

- First Things First will increase availability of early care and education settings.
- First Things First will improve access to quality early care and education programs and settings.

#### **First Things First Key Measures to be addressed:**

- Total number of children enrolled and vacancies in regulated early care and education programs as a proportion of the total population birth to age five
- Total number of infants and toddlers enrolled and vacancies in regulated early care and education programs as a proportion of total population birth to age three
- Percentage of families with children birth through age five who report they are satisfied with the accessibility of information and resources on child development and health
- Percentage of families with children birth through age five who report they are competent and confident about their ability to support their child's safety, health, and well-being
- Percentage of families of children birth through age five who report they maintain language and literacy rich home environments (e.g. children hear language throughout the day, children have opportunities for listening and talking with family members, books and other literacy tools and materials are available and accessible to children)
- Percentage of families with children birth through age five who report reading to their children daily in their primary language

For more information on First Things First Goal Areas, Goals and Key Measures, please visit:

[http://www.azftf.gov/WhatWeDo/Impacting/Documents/azftf\\_Strategic\\_Road\\_Map2008.pdf](http://www.azftf.gov/WhatWeDo/Impacting/Documents/azftf_Strategic_Road_Map2008.pdf)

This strategy will recruit and provide support to home-based care providers in areas of the Region that most need child care providers and will help unregulated homes to become regulated (as demonstrated through compliance with the Navajo Nation Indian Health Sanitation Permit and/or a Navajo Nation Business Application, and through compliance with the Minimum Standards for Tribal Child Care, A Health and Safety Guide).



An effective delivery mechanism to support quality improvement and promote a shift from unregulated to regulated home-based child care will be for an organization to serve as the administrative home with staff available to begin building a supportive, coaching and technical assistance relationship with potential and existing child care home providers.

The administrative home will be responsible for the following activities:

1. Conduct culturally appropriate outreach and recruitment of established and new child care homes.
2. Conduct an initial assessment of the home and the child care services provided with the child care home provider. An initial assessment of what is needed to establish a child care home will be required if the child care home is not yet operating.
3. Provide technical support including: a) assisting providers in making their home safe in compliance with regulations and the Minimum Standards for Tribal Child Care, A Health and Safety Guide” (Exhibit A); b) assisting providers in completing the application process for the Indian Health Sanitation Permit and the Navajo Nation Business Application, and c) supporting curriculum enhancement and provision of appropriate children’s literature and play materials.
4. Assist providers with modest costs for compliance with standards and regulations, and basic health and safety. These may include application fees, fingerprinting fees, CPR training, fire extinguishers, and smoke alarms.
5. Promote professional development by providing coaching and trainings in relevant topics such as: safety, young children’s brain development, social-emotional developmental needs, positive guidance and discipline, nutrition, parent/caregiver relationships, language and literacy, appropriate learning activities, culture, and health and sanitary practices.
6. Assist providers with modest costs to assist with providing quality care in alignment with the coaching and training provided. These may include costs of teaching and care giving resources, children’s books, classroom supplies and materials. Costs for these expenses are not to exceed \$250 per year, per child care home.
7. Assist the child care provider in applying for Quality First (Arizona’s Quality Improvement and Rating System) to raise the level of quality child care offered in the Region, once the child care home is eligible.
8. Create collaborations with and among agencies and other relevant early care and education stakeholders, such as the National Indian Education Association, Arizona Department of Economic Security, the Indian Health Service, the Arizona Kith & Kin

Project, Child Care Resource and Referral, Regional Libraries, Head Start Programs, School Districts, Child Care Health Consultants, Professional Development Training and Scholarship systems, and other programs working with child care home providers.

9. Coordinate with other First Things First related funded programs such as Quality First, Early Literacy programs, and the First Things First State Competitive Kith and Kin project.
10. Conduct assessment and evaluation to determine the effectiveness of the program in meeting its desired outcomes.
11. Report to the Navajo Nation Regional Partnership Council at least quarterly on the progress of the implementation of this strategy.
12. Provide a funding match of 20 percent (may be in-kind) for the full program costs.

#### Eligibility for Participating Child Care Homes To Receive Assistance

Child care homes must be serving children birth through age five. The First Things First funding allocation for this strategy will not be used for reimbursement for the cost of child care to families.

As part of a successful program implementation, Applicants funded under this RFGA must:

1. Create and implement a detailed plan (Implementation Plan – Attachment D) with timelines to describe the activities of the administrative home that will lead to an increased number of regulated child care homes meeting the standards described in Minimum Standards for Tribal Child Care, A Health and Safety Guide (Exhibit A).
2. Identify and/or develop tools for communication, documentation and planning to be used for record keeping, monitoring of progress, and for working with the child care home providers.
3. The Applicant shall identify the projected number of child care homes expected to be assisted, and the number expected to become regulated under this agreement in the Region.
4. The applicant for this funding should demonstrate planning to work with, and to uphold and support the role of Tribal and State regulating bodies, such as Indian Health Service and Tribal Child Protective Services agencies.
5. The applicant shall develop and implement a plan that ensures that contract services to be provided are culturally appropriate to the target population(s) to be served.

As appropriate, the following are examples of allowable activities which may need to be conducted:

1. Outreach Meetings and Mailings
2. Orientation meetings
3. Travel to recruit child care providers
4. Individual meetings with child care providers
5. Assessment of the needs of the child care home with the provider
6. Presentation and discussion of requirements of regulation on the Navajo Nation and meeting the Minimum Standards for Tribal Childcare (Exhibit A), as well as the following best practices:
  - a. Assessment of the willingness and ability of the applicant to complete the process
  - b. Initiation of applications for interested individuals
  - c. Explanation of the proper use of required forms
  - d. Discussion and dissemination of information on the Child Care Resource and Referral (CCR&R) and on the Child and Adult Care Food Program (CACFP)
  - e. Reference Checks
  - f. Collect and review for completeness the paperwork/forms required
  - g. Conduct follow-up visits to ensure that necessary changes in the home have been made
  - h. Collection, organizing and delivery of application to the appropriate agency
  - i. Support for compliance: The Administrative Home will provide material and financial supports to child care homes pursuing regulation. Items required to becoming compliant with regulation standards (e.g. fire extinguisher, first aid kit, minor household repairs, fingerprinting, T.B. tests, CPR First Aid certification) will be provided as necessary
  - j. The Administrative Home will maintain a system of criteria for determining the applicant's eligibility for the above financial and material supports
  - k. CPR Training: This fee includes all costs associated with procuring CPR and First Aid training as required for the provider and for the identified back up provider
  - l. Business Training: securing and/or delivering group or individual business training for a newly regulated provider
  - m. Fingerprint fees, cost of submitting one set of fingerprints for issuance of a fingerprint clearance card
  - n. Technical assistance to prepare individuals to meet compliance requirements and the Minimum Standards for Tribal Child Care (Exhibit A) and to provide the necessary support
  - o. Development of written materials to promote interest in becoming a regulated provider

- p. Offer support and facilitate training through linkages with other local providers at no cost to engage home providers – offer on the weekend and evenings
- q. Provide information regarding current training opportunities available, encouraging participation and networking. Work with existing resources to establish participation in training or conferences for newly regulated providers

Selected Applicant will adhere to State of Arizona/First Things First procurement policies and regulations. Staff hired by the Administrative Home to implement this strategy and work directly with established or potential home-based child care providers must have:

- Bachelor's to Master's degree in early childhood related field with experience in home-based child care
- Experience supporting adult learners
- Knowledge (or the ability to gain knowledge) of the Early Care and Education programs and regulatory processes on the Navajo Nation
- Ability to travel throughout the Navajo Nation
- Expertise in infant, toddler and preschooler development
- Knowledge (or the ability to gain knowledge) of resources and services available to the community
- Familiarity and experience with families in the regional area
- Experience working to improve children's health, safety and quality of interactions with the home-based care providers
- Ability to assist the home-based care providers in working towards increasing early identification of health or developmental concerns, enhancing the quality of care, and improving the children's school readiness
- Experience with a strength-based curriculum for use with adults that is focused on community needs and participant recommendations. It should include safety, health and sanitary practices, brain development, social-emotional developmental needs, positive guidance and discipline, nutrition, parent/caregiver relationships, language and literacy, appropriate learning activities, and the Navajo culture
- Ability to provide or connect child care home providers to Professional Development training through Community Based Training and Curriculum Enhancement

Applicants for the Administrative Home must be able to demonstrate involvement in the community. The administrative home must demonstrate how, once regulated, all early care and education providers supported through this funding opportunity will participate in continued quality improvement. The administrative home will assist providers in applying for Quality First once they are eligible.

Furthermore, this strategy should be implemented in coordination with those entities in the Region that currently work with potential providers for permits, business applications, quality improvement, professional development or training, child care funding or resource and referral.

**Exhibit B includes the First Things First Standards of Practice for Quality, Access, and Affordability: Support for Home-Based Child Care Providers. These Standards of Practice should be reflected in the proposal and must be followed by Applicants chosen for award for the duration of the contract.**

#### Coordination

Coordination and collaboration among early childhood service providers is critical to developing a seamless service delivery system for children and families. Through coordination and collaboration, organizations begin to look at how they can change the way they work together so that they deliver services to children and families in new, more effective and efficient ways. As a result of coordination and collaboration, services are often easier to access and are implemented in a manner that is more responsive to the needs of the families. Coordination and collaboration may also result in greater capacity to deliver services because organizations are working together to identify and address gaps in service.

Services and programs cannot be implemented in isolation. Successful applicants must demonstrate capacity to attend meetings and participate productively in coordination and collaboration activities occurring within the First Things First region being served. In order to accomplish this, Applicants should plan the appropriate staffing and budget to support travel to and attendance at monthly meetings within the regional area.

In order to promote regional and statewide service coordination First Things First grantees may also be requested to participate in regional and statewide meetings. First Things First staff and Regional Councils will identify these additional coordination and collaboration opportunities. To ensure the capacity to participate in these activities, Applicants should plan the appropriate staffing and budget to support travel to and attendance at five additional meetings, four within the region or in a neighboring region and one in the Phoenix area. All travel related costs for these trainings and meetings should be included in the Applicant's budget.

#### Program Specific Data Collection

All successful Applications will be provided with data reporting requirements by First Things First and will meet the requirements of the evaluation including, but not limited to, timely and regular reporting and cooperation with all First Things First evaluation activities. Timely and regular reporting of all performance and evaluation data including the electronic submission (through First Things First secure web portal known as PGMS) of data identified in data reporting templates (which will follow the First Things First general orientation).

First Things First reporting requirements will be aligned with the Goals, Key Measures, and Performance Measures identified in each Scope of Work. The purpose of the First Things First data submission is to determine the extent to which the program has accomplished the stated

goals and key measures, through reporting on program implementation as well as program outcomes (as appropriate and identified in the performance measures).

Successful Applicants agree to participate in the First Things First evaluation and any program specific evaluation or research efforts. Successful Applicants are required to collaborate with the First Things First longitudinal evaluation. The provider must participate in child assessment activities associated with the longitudinal evaluation including tracking and reporting to First Things First data pertaining to participant attendance, enrollment, and demographic information; all of which must be maintained in a secure and confidential manner. In addition, Applicants agree to follow First Things First and evaluation consultants of First Things First to observe program activities on site and obtain parent consent for data collection related to evaluation efforts.

Performance Measures are defined by First Things First to determine the key impacts of the strategies, programs and approaches being implemented. Applicants will collect and report data to First Things First on the progress of achieving the Performance Measures. All Successful Applicants will receive training on specific reporting requirements. Reporting requirements will be detailed and specific and aligned with the performance measures. Data must be submitted in its raw form (e.g., number of children served/proposed service number = 52 actual children served/50 proposed service number). Based on specific strategic objectives, data will be reported for subgroups, for example, one group of strategies may require reporting of the number of children from birth through five, whereas other strategies will need to report numbers broken down to number of infants, toddlers, and preschoolers. An additional example, would be for type of Early Care provider or enrollment status. Examples of subgroups of Early Care providers are licensed with the Arizona Department of Health Services, accredited, regulated by Tribal authorities, etc; examples of family enrollment statuses are newly enrolled, continuing enrollment, disenrolled.

**Performance Measures for the purposes of this RFGA are as follows:**

- Number of home-based caregivers receiving training/proposed service number
- Number of training sessions offered/proposed service number
- Number of technical assistance visits conducted/proposed service number
- Hours of coaching offered/proposed service number
- Number of home-based caregivers applying to be regulated/targeted service number
- Number of home-based caregivers in compliance with the Minimum Standards for Tribal Childcare (Exhibit A)/total number served
- Number of home-based caregivers improving the quality of care/total number served (pre-post assessment must meet First Things First requirements)
- Number of home-based caregivers improving in their knowledge of early childhood care and education/total number served (pre-post assessment must meet First Things First requirements)
- Number of home-based caregivers reporting satisfaction with training/coaching/total number served (minimum questions provided by First Things First)

## How Will Applications be Evaluated?

The review committee will evaluate Applications and recommend those for an award based on the following criteria:

- Capacity of the Applicant for Addressing Needs (25%)
- Proposed Program or Strategy (25%)
- Implementation Activities (25%)
- Resource and Budget (10%)
- Evaluation Plan (15%)

Those Applicants not selected for funding will be notified in writing; however, pursuant to A.R.S. §41-2702 (E), all Applications shall not be open for public inspection until after grants are awarded. A.R.S. §41-2702 (G) also states the evaluator assessments shall be made available for public inspection no later than thirty (30) days after a formal award is made.

## Application: Responding to the Scope of Work

To complete your Application, restate each of the questions numbered one through 27 and then provide a narrative response to each item unless noted. If the item requires a completed attachment, please reference that attachment within the narrative response when indicated.

### **Executive Summary** (required – 1 page overview)

1. Provide a one (1) page narrative overview of the proposed project that includes a brief summary of the program or strategy, how it will be implemented, and the Applicant's capacity to implement this program and how success and outcomes will be measured.

### **Capacity for Addressing the Needs (25%)**

This component creates a foundation for the proposal by focusing on: meeting the needs and building on assets; other individuals or groups who will play a role in the development or implementation of the program; and the capacity of the Applicant to meet the need and deliver the services.

Applicants must address Capacity for Addressing the Needs by completing the following questions and attachments, when applicable:

2. Identify any additional needs and assets data that supports the need/gap in service for the proposed program/strategy. Identify the sources of the data and how that data was collected.
3. Complete the First Things First Standard Data Collection Form (Attachment A). No additional narrative is required.
4. Provide a brief narrative description of your organization's capacity to address the needs and improve assets with similar programs previously implemented in the Regional

Partnership Council area. Provide examples of experience implementing related programs and the outcomes of those programs. It should be noted that past performance on any grants might be taken into consideration in evaluation of your proposals. (In addition to the narrative, please complete Applicant's Experience, Attachment B.)

5. In order to implement the program or strategy, what capacity or infrastructure building will be needed? Describe any external agency partnerships, additional resources, establishing or strengthening relevant relationships with consultants or providers necessary for success implementation of the program or strategy.
6. Provide a brief narrative description of staff accountabilities and qualifications and list how much time each person will spend on the project. Further, describe how staff recruited will be geographically, culturally and linguistically responsive to the settings in which they work. In addition, complete Attachment C, Key Personnel Overview. You must also attach resumes for key individuals involved in the project or job descriptions for positions to be filled.
7. Provide a narrative description of the coordination and collaboration activities in which the organization is currently involved. What benefits has the organization realized as a result of participating in these coordination and collaboration activities? What benefits have service participants realized as a result of these activities?
8. Describe any additional coordination and collaboration activities that will occur as part of the implementation of the proposed strategy/program. What agencies/partners do you anticipate involving in these activities?

### **Strategies (25%)**

This component identifies and describes the Applicant's program/strategy(ies) chosen to reach the stated Goals and Key Measures and also addresses the targeted individuals or groups to be reached.

Applicants must address Strategies by completing the following questions:

9. Provide a concise and descriptive narrative of the strategy(ies) being proposed. This description should also describe how the Goal Area, Goals, and Key Measures will be improved by the proposed strategy(ies). This narrative description should match your implementation plan (Attachment D) and describe what is being proposed.
10. If adapting a proven effective program, explain what the adaptations are and why they are being made. You may attach relevant scientific research proving the effectiveness of the proposed program or strategy.
11. Describe the target population to be served by the identified program, be as specific as possible, and include targeted service numbers. Describe how the proposed strategy(ies) applies to the target population and how the strategy(ies) is culturally competent, age appropriate, and gender responsive.
12. Describe your organization's professional knowledge of the target population.
13. Describe how the target population will be recruited. Identify outreach, engagement and retention practices for participants/ families.
14. Describe the plan to provide services across all of the Regional Partnership Council Area.



## **Implementation**

This component focuses on the steps that must be taken to put the strategy(ies) into action. It should include all the elements that will be required to operationalize the program.

Applicants must address Implementation Activities and Budget by completing the following questions:

### **Implementation Activities (25%)**

15. Sequentially list the activities needed to operationalize the strategy(ies), including timelines and responsibilities using Attachment D, Implementation Plan. Any narrative necessary to describe the Implementation Plan should be included with Question 9.
16. Describe any anticipated barriers to implementation and your plans to overcome those barriers.
17. Is there specific training that might be needed for existing and/or new staff. Describe how and when this training will be delivered and how the training will enhance professional development of staff specific to this project. This should also be included in the implementation plan (Attachment D).

### **Budget (10%)**

The budget and budget narrative should provide a clear and concise explanation of the methods used to determine the amounts for each line item in the proposed program budget. All budget forms must be signed by an authorized agency representative.

18. Submit the Funds Requested Form (Attachment E). No additional narrative is required.
19. Submit the Line Item Budget (Attachment F) using only the budget categories listed on the form. No additional narrative is required.
20. Submit the Budget Narrative (Attachment G) using only the budget categories listed on the form.
21. Submit the Disclosure of Other Funding (Attachment H). This list should include all other sources of funding currently received from other State or public agencies, Federal agencies, non-profit organizations and other sources that will be applied to the proposed program/strategy(ies). Note that statute A.R.S. §8-1183 provides for a prohibition on supplanting of state funds by First Things First expenditures, meaning that no First Things First monies expended are to be used to take the place of any existing state or federal funding for early childhood development and health programs.
22. Describe your organization's business management system by completion of the Financial Systems Survey. Attach the Financial Systems Survey (Attachment I) to capture basic financial system/operational information to assess financial capacity early in the process. No additional narrative is required. As noted in the financial system survey, you are required to submit a complete copy of the most recent audited, reviewed or compiled financial statements as well as management letters and a schedule showing the TOTAL federal funds (by granting agency) expended by your agency for the most recent fiscal year. NOTE THAT ONLY ONE COPY OF EACH OF THESE DOCUMENTS NEEDS TO BE INCLUDED WITH THE APPLICATION MARKED "ORIGINAL".

### **Evaluation Plan (15%)**

This component will address questions about how the program is working and what can be done to make the program more effective. The evaluation plan should be directly connected to the Goals, Key Measures, and Performance Measures and should determine the extent to which the program has accomplished the stated goals and key measures. The evaluation should also measure implementation fidelity by assessing which activities were implemented and the quality, strengths and weaknesses of the implementation.

Applicants must include a plan for Evaluation and Quality Improvement by completing the following questions.

23. Describe any additional program evaluation activities or data collection that will be undertaken during the implementation of the proposed strategy.
24. Who will have overall responsibility for the data collection and reporting? Be sure to include this person in your Key Personnel Overview (Attachment C).
25. How will the required data be collected? Describe how you will ensure that data entered into the First Things First web-based database after it has been collected is accurate and timely. What procedures will be in place to assure the quality of your data (e.g., training for data collectors, data collection forms, timeliness for administering tools, etc.)?
26. Complete the Evaluation Plan Overview table in Attachment J.
27. What resources (e.g., personnel, supplies, computer, etc.) will be needed to complete necessary activities related to the quality data input and data collection of the program? In addition to a narrative description, the funds dedicated to evaluation should be reflected in the budget.

## **Instructions to Applicants**

### **A. Inquiries**

1. Duty to Examine. It is the responsibility of each Applicant to examine the entire RFGA, seek clarification in writing (inquiries), and examine its' Application for accuracy before submitting the Application. Lack of care in preparing an Application shall not be grounds for modifying or withdrawing the Application after the Application due date and time, nor shall it give rise to any Contract claim.
2. RFGA Contact Person. Any inquiry related to an RFGA, including any requests for or inquiries regarding standards referenced in the RFGA shall be directed solely to the RFGA contact person. The Applicant shall not contact or direct inquiries concerning this RFGA to any other State employee unless the RFGA specifically identifies a person other than the RFGA contact person as a contact.
3. Submission of Inquiries. The Grants and Contracts Procurement Specialist identified in this RFGA, who is the contact for all inquiries except at the Pre-Application Conference, requires that an inquiry be submitted in writing. Any inquiry related to the RFGA shall refer to the appropriate RFGA number, page and paragraph. Do not place the RFGA number on the outside of the envelope containing that inquiry, since it may then be identified as an Application and not be opened until after the Application due date and time. Electronic inquiries are acceptable.

First Things First shall consider the relevancy of the inquiry but is not required to respond in writing.

4. Timeliness. Any inquiry or exception to the RFGA shall be submitted as soon as possible and should be submitted at least seven days before the Application due date and time for review and determination by First Things First. Failure to do so may result in the inquiry not being considered for an RFGA Amendment.
5. No Right to Rely on Verbal Responses. An Applicant shall not rely on verbal responses to inquiries. A verbal reply to an inquiry does not constitute a modification of the RFGA.
6. RFGA Amendments. The RFGA shall only be modified by a formal written RFGA amendment. Formal written amendments are posted on the First Things First website, [www.azftf.gov](http://www.azftf.gov). It is the sole responsibility of the Applicant to check the website regularly.
7. Pre-Application Conference. A Pre-Application Conference has been scheduled for this RFGA and specific date, time and location are found on Page 2 of this RFGA. Applicants should raise any questions about the RFGA at that time. The Pre-Application Conference will clarify the contents of the RFGA in order to prevent any misunderstanding of First Things First's position. Any doubt as to the requirements of the RFGA or any apparent omission or discrepancy should be presented to First Things First at the Conference. An Applicant may not rely on any verbal responses to questions at the Conference. Material issues raised at the Conference that result in changes to the RFGA shall be answered solely through a formal written RFGA amendment. **Attendance at the Pre-Application Conference is strongly encouraged, but not mandatory.**
8. Persons with Disabilities. Persons with a disability may request a reasonable accommodation, such as a sign language interpreter, by contacting the RFGA contact person. Requests shall be made as early as possible to allow time to arrange the accommodation.

## **B. Application Preparation**

1. Forms. No facsimile or electronic mail Applications shall be accepted. An Application shall be submitted using the forms provided in this RFGA or on their substantial equivalent. Any substitute document for the forms provided in this RFGA must be legible and contain the same information requested on the forms, unless the RFGA indicates otherwise.
2. Technical Requirements. Applications will be reviewed initially for compliance with technical requirements. Noncompliance with these requirements may result in the Application being deemed non-responsive, and therefore, not susceptible to award.
  - Responses should be typed, single-spaced with one-inch margins or wider with a twelve (12)-point font used.
  - Applications are not to be bound in spiral binders or in 3-ring notebooks. Please submit the Application either stapled in the upper left-hand corner or use a binder clip.
  - Applications should be single sided, NOT duplexed.
  - Number all pages and include a table of contents that follows the underlined categories in the "Application: Responding to the Scope of Work" Section. Enclose one (1) original (clearly marked "ORIGINAL") and nine (9) additional copies.
  - All Attachments must be completed as instructed.

- The organization name and the Request for Grant Application Number (**RFGA number found on page 1 of this RFGA**) must be clearly marked on the outside of the sealed envelope/package.

Please refer to the Checklist within this RFGA to verify inclusion of all required documentation and use of the proper format.

3. Evidence of Intent to be Bound. The Applicant Offer and Acceptance Form within the RFGA shall be submitted with the Application and shall include a signature by a person authorized to sign the Application. The signature shall signify the Applicant's intent to be bound by the Application, the terms of the RFGA and that the information provided is true, accurate and complete. Failure to submit verifiable evidence of intent to be bound, such as an original signature, shall result in rejection of the Application.
4. Exceptions to Terms and Conditions. All exceptions included with the Application shall be submitted in a clearly identified separate section of the Application in which the Applicant clearly identifies the specific paragraphs of the RFGA where the exceptions occur. Any exceptions not included in such a section shall be without force and effect in any resulting Contract unless such exception is specifically accepted by the Grants and Contracts Procurement Specialist in a written statement. The Applicant's preprinted or standard terms will not be considered by First Things First as a part of any resulting Contract. All exceptions that are contained in the Application may negatively affect First Things First's proposal evaluation based on the evaluation criteria stated in the RFGA or result in rejection of the Application.
5. Subcontracts. Applicant shall clearly list any proposed subcontractors and the subcontractor's proposed responsibilities in the Application.
6. Cost of Application Preparation. First Things First will not reimburse any Applicant the cost of responding to an RFGA.
7. RFGA Amendments. Each RFGA Amendment shall be signed with an original signature by the person signing the Application, and shall be submitted no later than the Application due date and time. Failure to return a signed copy of a RFGA Amendment may result in rejection of the Application.
8. Additional Materials. Additional materials such as promotional brochures or examples of other programs should not be submitted unless they directly relate to the information required in the Application.
9. Provision of Tax Identification Numbers. Applicants are required to provide their Arizona Transaction Privilege Tax Number and/or Federal Tax Identification number in the space provided on the Offer and Acceptance Form.
10. Disclosure. If the firm, business or person submitting this Application has been debarred, suspended or otherwise lawfully precluded from participating in any public procurement activity, including being disapproved as a subcontractor with any Federal, state or local government; or if any such preclusion from participation from any public procurement activity is currently pending, the Applicant shall fully explain the circumstances relating to the preclusion or proposed preclusion in the Application. The Applicant shall include a letter with its

Application setting forth the name and address of the governmental unit, the effective date of this suspension or debarment, the duration of the suspension or debarment, and the relevant circumstances relating to the suspension or debarment. If suspension or debarment is currently pending, a detailed description of all relevant circumstances including the details enumerated above shall be provided.

11. RFGA Order of Precedence. In the event of a conflict in the provisions of this RFGA, the following shall prevail in the order set forth below:
  - 11.1 First Things First Special Terms and Conditions
  - 11.2 State of Arizona Uniform Terms and Conditions
  - 11.3 Scope of Work
  - 11.4 Attachments
  - 11.5 Exhibits
  - 11.6 Instructions to Applicants
  - 11.7 Other documents referenced or included in the RFGA

### **C. Submission of Application**

1. Sealed Envelope or Package. One (1) original (clearly marked "original") Application and nine (9) copies shall be submitted to the submittal location identified in this RFGA. Applications must be submitted in a sealed envelope or container. The envelope or container should be clearly identified with name of the Applicant and RFGA number. First Things First may open envelopes or containers to identify contents if the envelope or container is not clearly identified.
2. Late Applications. An Application submitted after the exact Application due date and time shall be rejected. Applications **must** be received by First Things First at the designated due date and time.
3. Application Amendment or Withdrawal. An Application may not be amended or withdrawn after the Application due date and time except as otherwise provided under applicable law.
4. Application Opening. Applications shall be opened publicly at the time and place identified in this RFGA. The name of each Applicant shall be read publicly and recorded.
5. Disqualification. An Applicant (including each of its principals) who is currently debarred, suspended or otherwise lawfully prohibited from any public procurement activity shall have its Application rejected.
6. Public Record. All Applications submitted and opened are public records and must be retained by First Things First. Applications shall be open to public inspection no later than 30 days after Contract award pursuant to A.R.S. §41-2702 (E), except for such Applications deemed to be confidential by First Things First. If an Applicant believes that information in its Application should remain confidential, it shall indicate as confidential the specific information and submit a statement with its Application detailing the reasons that the information should not be disclosed. Such reasons shall include the specific harm or prejudice which may arise. First Things First, pursuant to A.C.R.R. R2-7-104, shall review all requests for confidentiality and provide a written determination. If the confidential request is denied, such information shall be disclosed as public information, unless the person utilizes the "Protest" provision as noted in A.R.S. §41-2611 through §41-2616.

7. Application Acceptance Period. Applications shall be irrevocable for 120 days after the RFGA due date and time.
8. Non-collusion, Employment, and Services. By signing the Offer and Acceptance Form, the Applicant certifies that:
  - a. The Applicant did not engage in collusion or other anti-competitive practices in connection with the preparation or submission of its Application; and
  - b. The Applicant does not discriminate against any employee or applicant for employment or person to whom it provides services because of race, color, religion, sex, national origin, sexual orientation or disability, and that it complies with all applicable Federal, state and local laws and executive orders regarding employment.
9. Budget Limitations. In the event that the Applications received exceed the budget limitations, First Things First reserves the option to request a reduction in the scope of the Applicant's proposed program. Revised budget documents will be required. First Things First reserves the right to award contracts for less than the proposed amount and/or less than the available funds or make awards that exceed the posted available funds as additional funds become available.
10. Waiver and Rejection Rights. Notwithstanding any other provision of the RFGA, the State reserves the right to:
  - 10.1 Waive any minor informality,
  - 10.2 Reject any and all Applications or portions thereof, or
  - 10.3 Cancel the RFGA.

#### **D. Award**

1. Multiple Awards. In order to ensure adequate coverage of First Things First requirements, either single or multiple awards may be made (but a single award may be considered).
2. Contract Inception. An Application does not constitute a Contract nor does it confer any rights on the Applicant to the award of a Contract. A Contract is not created until the Application is accepted in writing by the First Things First designee's signature on the Offer and Acceptance Form. A notice of award or of the intent to award shall not constitute acceptance of the Application.
3. Effective Date. The effective date of this Contract shall be the date that the First Things First designee signs the Offer and Acceptance form or other official contract form, unless another date is specifically stated in the Contract.

#### **E. Protests**

1. A protest shall comply with and be resolved according to A.R.S. §41-2611. Protests shall be in writing and filed with the Executive Director, Arizona Early Childhood Development and Health Board. A protest of an RFGA shall be received by the Grants and Contracts Procurement Specialist before the Application due date. A protest of a proposed award or of an award shall be filed within ten (10) days after the protester knows or should have known the basis of the protest. A protest shall include:
  - 1.1 The name, address and telephone number of the protester,
  - 1.2 The signature of the protester or its representative,
  - 1.3 Identification of the RFGA or Contract number,

- 1.4 A detailed statement of the legal and factual grounds of the protest including copies of relevant documents, and
- 1.5 The form of relief requested.

#### F. Comments Welcome

1. First Things First periodically reviews the Instructions to Applicants and welcomes any comments you may have. Please submit your comments to the Grants and Contracts Procurement Specialist, [grants@azftf.gov](mailto:grants@azftf.gov)

## Terms and Conditions

### FIRST THINGS FIRST SPECIAL TERMS AND CONDITIONS

1. Term of Contract. The effective date of this Contract shall be the date that the First Things First designee signs the Offer and Acceptance form or other official contract form and shall remain in effect until June 30, 2011, unless terminated, cancelled or extended as otherwise provided herein.
2. Contract Renewal/Contract Amendment. This Contract shall not bind nor purport to bind First Things First for any contractual commitment in excess of the original contract period. First Things First shall have the right, with consult of the awardee, to issue a written contract amendment to expand services and increase funding awarded to compensate for the agreed upon service expansion. First Things First shall have the right, at its sole option, to renew the contract for two (2) one-year periods or a portion thereof. Contract awards may be increased, decreased, or not renewed based on evaluation, programmatic and fiscal performance, the availability of funds, or the discretion of First Things First. If First Things First exercises such rights, all terms, conditions and provisions of the original contract shall remain the same and apply during the renewal period.
3. Reporting. At a minimum grantees shall submit quarterly programmatic progress reports due by the 20<sup>th</sup> of the month following the quarter and will submit evaluation data reports and enter data into the First Things First Partners in Grants Management System (PGMS). Program narrative reports shall also be submitted via the First Things First PGMS. Failure to submit timely reports will result in suspension of reimbursement. The report shall contain such information as deemed necessary by First Things First.

Requests for program and budget changes must be sent to:  
First Things First  
Regional Division – Navajo Nation Regional Partnership Council  
4000 N. Central Avenue, Suite 800  
Phoenix, AZ 85012

4. Reimbursement/Payment. The Grantee shall be paid on a cost-reimbursement basis, at a maximum of monthly or a minimum of quarterly for those items submitted and approved in the budget inclusively. Reimbursement requests shall be submitted monthly or quarterly via the First Things First PGMS. **Grantee shall submit a final reimbursement request for expenses obligated prior to the date of contract termination no more than forty-five (45) days after the contract end.** Requests for reimbursement received later than forty-five (45) days after the contract termination will not be paid. **If awarded a contract, your organization must have**

**sufficient funds to meet obligations for at least sixty- (60) days while awaiting reimbursements.** If an exception is requested to this requirement, it must be provided in writing in your Application describing the justification and need for alternative considerations.

Financial budget modification requests must be sent to:  
First Things First  
Finance Division - Navajo Nation Regional Partnership Council  
4000 North Central Avenue, Suite 800  
Phoenix, Arizona 85012

5. Confidentiality of Records. The Grantee shall establish and maintain procedures and controls that are acceptable to First Things First for the purpose of assuring that no information contained in its records or obtained from First Things First or from others in carrying out its functions under the contract shall be used by or disclosed by it, its agents, officers, or employees; except as required to efficiently perform duties under the contract. Persons requesting such information shall be referred to First Things First. Grantee also agrees that any information pertaining to individual persons shall not be divulged other than to employees or officers of the Grantee as needed for the performance of duties under the contract, unless otherwise agreed to in writing by First Things First.
6. Key Personnel. It is essential that the Grantee provide an adequate staff of experienced personnel, capable of and devoted to the successful accomplishment of work to be performed under this contract. The Grantee must assign specific individuals to the key positions, when possible or submit an official position description for which candidates must qualify. **Once assigned to work under the contract, if key personnel are removed or replaced, written notification shall be sent to First Things First.**
7. Orientation. A mandatory Orientation Meeting will be scheduled during the first quarter after awards are made and will provide all awarded grantees the information required to manage the contract.
8. Working with Tribal Regional Partnership Council(s). A grantee must comply with requirements set forth by the Tribal Government in relation to essential functions of the grants operation including data collection. It is the responsibility of the grantee to follow appropriate policy and procedures, complete IRB, parent consent, and appropriate tribal approvals as designated by tribal authorities.
9. Geographic Distribution. If Applications are not received from geographic areas within the region or if an Application submitted is not deemed applicable to funding by the review committee or falls below a review-scoring threshold, all funding may not be awarded or could be awarded to meet disparate geographic need for services. First Things First also reserves the right to fund more than one program in an area, to not award the entire amount of available funds, or to award an amount that is greater than the posted available funds.

## **STATE OF ARIZONA UNIFORM TERMS AND CONDITIONS**

### **1. Contract Interpretation**

- 1.1 Arizona Law. This Contract shall be governed and interpreted by the laws of the State of Arizona. The venue for any proceedings, actions, or suits arising from this Contract shall be in Maricopa County, Arizona.



- 1.2 Implied Contract Terms. Each provision of law and any terms required by law to be in this Contract are a part of this Contract as if fully stated in it.
- 1.3 Contract Order of Precedence. In the event of a conflict in the provisions of the Contract, as accepted by First Things First and as they may be amended, the following shall prevail in the order set forth below:
  - 1.3.1. First Things First Special Terms and Conditions
  - 1.3.2. State of Arizona Uniform Terms and Conditions
  - 1.3.3. Statement or Scope of Work
  - 1.3.4. Attachments/Exhibits
  - 1.3.5. Documents referenced or included in the RFGA
- 1.4 Severability. The provisions of this Contract are severable. Any term or condition deemed illegal or invalid shall not affect any other term or condition of the Contract.
- 1.5 No Parole Evidence. This Contract is intended by the parties as a final and complete expression of their contract. No course of prior dealings between the parties and no usage of the trade shall supplement or explain any terms used in this document and no other understanding either oral or in writing shall be binding.
- 1.6 No Waiver. Party's failure to insist on strict performance of any term or condition of the Contract shall not be deemed a waiver of that term or condition even if the party accepting or acquiescing in the nonconforming performance knows of the nature of the performance and fails to object to it.

## **2. Contract Administration and Operation**

- 2.1 Records. Pursuant to A.R.S. §35-214 and §35-215, the Grantee shall retain and shall contractually require each subcontractor to retain all data and other "records" relating to the acquisition and performance of the Contract for a period of five years after the completion of the Contract. All records shall be subject to inspection and audit by First Things First at reasonable times. Upon request, the Grantee shall produce a legible copy of any or all such records.
- 2.2 Non-Discrimination. The Grantee shall comply with State Executive Order No. 99-4 and all other applicable Federal and State laws, rules and regulations, including the Americans with Disabilities and all applicable provisions and regulations relating to Executive Order No. 13279 – Equal Protection of the Laws for Faith-based and Community Organizations.
- 2.3 Audit. Pursuant to A.R.S. §35-214, at any time during the term of this Contract and five (5) years thereafter, the Grantee's or any subcontractor's books and records shall be subject to audit by First Things First and, where applicable, the Federal Government, to the extent that the books and records relate to the performance of the Contract or subcontract.
- 2.4 Financial Audit. In compliance with the Federal Single Audit Act (31 U.S.C. par., 7501-7507), as amended by the Single Audit Act Amendments of 1996 (P.L. 104 to 156), grant sub-recipients, as prescribed by the President's Council on Integrity and Efficiency Position #6, expending Federal Grants from all sources totaling \$500,000 or more, must have an annual audit conducted in accordance with OMB Circular #A-133, "Audits of States, Local

Governments and Non-profit Organizations.” **If you have expended more than \$500,000 in federal dollars, a copy of your audit report for the previous fiscal year must be submitted with your Application.**

- 2.5 Audit Trails. Grantee shall maintain proper audit trails for all reports related to this contract. First Things First reserves the right to review all program records.
- 2.6 Fund Management. The Grantee must maintain funds received under this contract in separate ledger accounts and cannot mix these funds with other sources. Grantee must manage funds according to applicable regulations for administrative requirements, cost principles and audits.

The Grantee must maintain adequate business systems to comply with State requirements. The business systems that must be maintained are:

- a. Financial Management
- b. Procurement
- c. Personnel
- d. Property
- e. Travel

A system is adequate if it is: 1) written; 2) consistently followed – it applies in all similar circumstances; and 3) consistently applied – it applies to all sources of funds.

- 2.7 Notices. All notices, requests, demands or communications by either party to this Agreement, pursuant to or in connection with this Agreement shall be in writing and shall be delivered in person or shall be sent by the United States Postal Service, certified mail, return receipt requested, to the respective parties at the following addresses:

First Things First  
Finance Division – Navajo Nation Regional Partnership Council  
4000 N. Central Avenue, Suite 800  
Phoenix, AZ 85012

- 2.8 Advertising, Publishing and Promotion of Contract. The Grantee shall not use, advertise or promote information for commercial benefit concerning this Contract without the prior written approval of the Grants and Contracts Procurement Specialist.
- 2.9 Ownership of Information/Printed Material. First Things First reserves the right to review and approve all publications and/or media funded or partially funded through this contract. All publications funded or partially funded through this contract shall recognize First Things First as the funding source. First Things First shall have full and complete rights to reproduce, duplicate, disclose, perform, and otherwise use all materials prepared under this Agreement.

The Grantee agrees that any report, printed matter, or publication (written, visual, or sound, but excluding press releases, newsletters, and issue analyses) issued by the Grantee describing programs or projects funded under this agreement in whole or in part with First Things First funds and shall follow the protocol and style guide provided by First Things First.

### **3. Funding/Payments**

- 3.1. Funding. Requested funding must be submitted in an all-inclusive basis. The State will not reimburse any item other than the all-inclusive funding contained on the budget forms.
- 3.2. Tax Indemnification. Grantee and all subcontracts shall pay all Federal, state and local taxes applicable to its operation and any persons employed by the Grantee. Grantee shall, and require all subcontractors to hold First Things First harmless from any responsibility for taxes, damages and interest, if applicable, contributions required under Federal, and/or state and local laws and regulations and any other costs including transaction privilege taxes, unemployment compensation insurance, Social Security and Worker's Compensation.
- 3.3. IRS Substitute W9 Form. In order to receive payment the Grantee shall have a current IRS Substitute W9 Form on file with State of Arizona, unless not required by law.
- 3.4. Availability of Funds for the Next Fiscal Year. Funds are not presently available for performance under this contract beyond the current fiscal year. Every payment obligation of First Things First under this Contract is conditioned upon the availability of funds appropriated or allocated for the payment of such obligation. If funds are not allocated and available for the continuance of this Contract, this Contract may be terminated by First Things First at the end of the period for which funds are available. No liability shall accrue to First Things First in the event this provision is exercised, and First Things First shall not be obligated or liable for any future payments or for any damages as a result of termination under this paragraph.

### **4. Contract Changes**

- 4.1 Amendments. Any change in the contract including the scope of work and budget described herein, whether by modification or supplementation, must be accomplished by a formal written contract amendment signed and approved by and between the duly authorized representatives of the Grantee and First Things First. Any such amendment shall specify an effective date, any increases or decreases in the Grantee's compensation, if applicable, and entitled as an "Amendment" and signed by the parties identified in the preceding sentence. The Grantee expressly and explicitly understands and agrees that no other method and/or no other document, including correspondence, acts, and oral communications by or from any person, shall be used or construed as an amendment or modification or supplementation to the contract.
- 4.2 Subcontractors. The Grantee agrees and understands that no subcontract that the Grantee enters into with respect to performance under this contract shall in any way relieve the Grantee of any responsibility for performance of its duties. It is highly recommended by First Things First that a Memorandum of Understanding or some other type of contract is in place between the Grantee and a Subcontractor for services to be performed, and in which a payment amount has been negotiated and approved, to avoid any misunderstanding between both parties. The Subcontract shall incorporate by reference the terms and conditions of this Contract.
- 4.3 Assignment and Delegation. The Grantee shall not assign any right nor delegate any duty under this Contract without the prior written approval of the Grants and Contracts Procurement Specialist. First Things First shall not unreasonably withhold approval.

## 5. Risk and Liability

- 5.1. Indemnification. (Not Public Agency) The parties to this Contract agree that First Things First, its departments, Board and Councils shall be indemnified and held harmless by the Grantee for the vicarious liability of First Things First as a result of entering into this contract. However, the parties further agree that First Things First, its departments, Board and Councils shall be responsible for its own negligence. Each party to this contract is responsible for its own negligence.
- 5.2 Indemnification Language for Public Agencies Only. Each party (as 'indemnitor') agrees to indemnify, defend, and hold harmless the other party (as 'indemnitee') from and against any and all claims, losses, liability, costs, or expenses (including reasonable attorney's fees) (hereinafter collectively referred to as 'claims') arising out of bodily injury of any person (including death) or property damage but only to the extent that such claims which result in vicarious/derivative liability to the indemnitee, are caused by the act, omission, negligence, misconduct, or other fault of the indemnitor, its officers, officials, agents, employees, or volunteers.
- 5.3 Insurance Requirements. Grantee and subcontractors shall procure and maintain until all of their obligations have been discharged, including any warranty periods under this Contract, are satisfied, insurance against claims for injury to persons or damage to property which may arise from or in connection with the performance of the work hereunder by the Grantee, his agents, representatives, employees or subcontractors.

The *insurance requirements* herein are minimum requirements for this Contract and in no way limit the indemnity covenants contained in this Contract. First Things First in no way warrants that the minimum limits contained herein are sufficient to protect the Grantee from liabilities that might arise out of the performance of the work under this contract by the Grantee, its agents, representatives, employees or subcontractors, and Grantee is free to purchase additional insurance.

- A. MINIMUM SCOPE AND LIMITS OF INSURANCE: Grantee shall provide coverage with limits of liability not less than those stated below.

### 1. Commercial General Liability – Occurrence Form

Policy shall include bodily injury, property damage, personal injury and broad form contractual liability coverage.

- General Aggregate \$2,000,000
  - Products – Completed Operations Aggregate \$1,000,000
  - Personal and Advertising Injury \$1,000,000
  - Blanket Contractual Liability – Written and Oral \$1,000,000
  - Fire Legal Liability \$50,000
  - Each Occurrence \$1,000,000
- a. The policy shall be endorsed to **include coverage for sexual abuse and molestation.**
- b. The policy shall be endorsed to include the following additional insured language:  
***“The State of Arizona, its departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees shall be named as***

***additional insureds with respect to liability arising out of the activities performed by or on behalf of the Grantee".***

- c. Policy shall contain a waiver of subrogation against the State of Arizona, its departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees for losses arising from work performed by or on behalf of the Grantee.

## **2. Business Automobile Liability**

Bodily Injury and Property Damage for any owned, hired, and/or non-owned vehicles used in the performance of this Contract.

- Combined Single Limit (CSL) \$1,000,000
  - a. The policy shall be endorsed to include the following additional insured language:  
***"The State of Arizona, its departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees shall be named as additional insureds with respect to liability arising out of the activities performed by or on behalf of the Grantee, involving automobiles owned, leased, hired or borrowed by the Grantee".***
  - b. Policy shall contain a waiver of subrogation against the State of Arizona, its departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees for losses arising from work performed by or on behalf of the Grantee.

## **3. Worker's Compensation and Employers' Liability**

- Workers' Compensation Statutory
- Employers' Liability
  - Each Accident \$ 500,000
  - Disease – Each Employee \$ 500,000
  - Disease – Policy Limit \$1,000,000
  - a. Policy shall contain a waiver of subrogation against the State of Arizona, its departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees for losses arising from work performed by or on behalf of the Grantee.
  - b. This requirement shall not apply to separately, EACH Grantee or subcontractor exempt under A.R.S. §23-901, AND when such Grantee or subcontractor executes the appropriate waiver (Sole Proprietor/Independent Contractor) form.

## **4. Professional Liability (Errors and Omissions Liability)**

- Each Claim \$1,000,000
- Annual Aggregate \$2,000,000
  - a. In the event that the professional liability insurance required by this Contract is written on a claims-made basis, Grantee warrants that any retroactive date under the policy shall precede the effective date of this Contract; and that either continuous coverage will be maintained or an extended discovery period will be exercised for a period of two (2) years beginning at the time work under this Contract is completed.
  - b. The policy shall cover professional misconduct or lack of ordinary skill for those positions defined in the Scope of Work of this contract.

- B. ADDITIONAL INSURANCE REQUIREMENTS: The policies shall include, or be endorsed to include, the following provisions:
1. The State of Arizona, its departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees wherever additional insured status is required such additional insured shall be covered to the full limits of liability purchased by the Grantee, even if those limits of liability are in excess of those required by this Contract.
  2. The Grantee's insurance coverage shall be primary insurance with respect to all other available sources.
  3. Coverage provided by the Grantee shall not be limited to the liability assumed under the indemnification provisions of this Contract.
- C. NOTICE OF CANCELLATION: Each insurance policy required by the insurance provisions of this Contract shall provide the required coverage and shall not be suspended, voided, canceled, or reduced in coverage or in limits except after thirty- (30) days prior written notice has been given to the State of Arizona. Such notice shall be sent directly to (First Things First, Grants and Contracts Procurement Specialist, 4000 N. Central, Suite 800, Phoenix, AZ 85012) and shall be sent by certified mail, return receipt requested.
- D. ACCEPTABILITY OF INSURERS: Insurance is to be placed with duly licensed or approved non-admitted insurers in the state of Arizona with an "A.M. Best" rating of not less than A-VII. The State of Arizona in no way warrants that the above-required minimum insurer rating is sufficient to protect the Grantee from potential insurer insolvency.
- E. VERIFICATION OF COVERAGE: Grantee shall furnish the State of Arizona with certificates of insurance (ACORD form or equivalent approved by the State of Arizona) as required by this Contract. The certificates for each insurance policy are to be signed by a person authorized by that insurer to bind coverage on its behalf.
- F. All certificates and endorsements are to be received and approved by the State of Arizona before work commences. Each insurance policy required by this Contract must be in effect at or prior to commencement of work under this Contract and remain in effect for the duration of the project. Failure to maintain the insurance policies as required by this Contract, or to provide evidence of renewal, is a material breach of contract.
- G. All certificates required by this Contract shall be sent directly to (First Things First, Grants and Contracts Procurement Specialist, 4000 N. Central, Suite 800, Phoenix, AZ 85012). The State of Arizona project/contract number and project description shall be noted on the certificate of insurance. The State of Arizona reserves the right to require complete, certified copies of all insurance policies required by this Contract at any time. DO NOT SEND CERTIFICATES OF INSURANCE TO THE STATE OF ARIZONA'S RISK MANAGEMENT SECTION.
- H. SUBCONTRACTORS: Grantees' certificate(s) shall include all subcontractors as insureds under its policies or Grantee shall furnish to the State of Arizona separate certificates and endorsements for each subcontractor. All coverages for subcontractors shall be subject to the minimum requirements identified above.
- I. APPROVAL: Any modification or variation from the *insurance requirements* in this Contract shall be made by the Department of Administration, Risk Management Section, whose decision shall be final.

Such action will not require a formal Contract amendment, but may be made by administrative action.

- J. EXCEPTIONS: In the event the Grantee or sub-contractor(s) is/are a public entity, then the Insurance Requirements shall not apply. Such public entity shall provide a Certificate of Self-Insurance. If the Grantee or sub-contractor(s) is/are a State of Arizona agency, board, commission, or university, none of the above shall apply.

5.4 Force Majeure. If either party hereto is delayed or prevented from the performance of any act required in this Agreement due to acts of God, strikes, lockouts, labor disputes, civil disorder, or other causes without fault and beyond the control of the party obligated, performance of or payment for such act will be excused for the period of the delay.

5.5 Third Party Antitrust Violations. The Grantee assigns to First Things First any claim for cover charges resulting from antitrust violations to the extent that those violations concern materials or services supplied by third parties to the Grantee, toward fulfillment of this Contract.

## **6. Compliance**

6.1 Compliance with Applicable Laws. The services supplied under this Contract shall comply with all applicable Federal, state and local laws, and the Grantee shall maintain all applicable licenses and permit requirements.

6.2 Sectarian Requests. Funds may not be expended for any sectarian purpose or activity, including sectarian worship or instructions.

6.3 Restrictions on Lobbying. The Grantee shall not use these funds to pay for, influence, or seek to influence any officer or employee of First Things First, state government or the federal government if that action may have an impact, of any nature, on this contract.

6.4 Licenses. Grantee shall maintain in current status all federal, state and local licenses and permits required for the operation of the business conducted by the Grantee.

6.5 Fingerprinting. Pursuant to A.R.S. §41-1758 Grantee will obtain fingerprint cards and/or background checks as applicable.

This Contract may be cancelled or terminated if the fingerprint check or the certified form of any person who is employed by a provider, whether paid or not, and who is required or allowed to provide services directly to children, discloses that a person has committed any act of sexual abuse of a child, including sexual exploitation or commercial sexual exploitation, or any act of child abuse or that the person has been convicted of or awaiting trial on any criminal offenses in this state or similar offenses in another state or jurisdiction.

## **7. State's Contractual Remedies**

- 7.1 Right to Assurance. If First Things First in good faith has reason to believe that the Grantee does not intend to, or is unable to perform or continue performing under this Contract, the Grants and Contracts Procurement Specialist may demand in writing that the Grantee give a written assurance of intent to perform. Failure by the Grantee to provide written assurance within the number of Days specified in the demand may be, at First Things First's

discretion, the basis for terminating the Contract under the First Things First Uniform Terms and Conditions or other rights and remedies available by law or provided by the contract.

- 7.2 Cancellation for Failure to Perform. Failure by the Grantee to adhere to any provision of this Agreement or its Attachments in the time and manner provided by this Contract or its Attachments shall constitute a material default and breach of this Contract and First Things First may cancel, at its option, this Agreement upon prior written notice.

First Things First may issue a written ten (10) day notice of default to the Grantee for acting or failing to act including but not limited to any of the following:

- The Grantee provides personnel that do not meet the requirements of this Agreement or are of an unacceptable quality.
- The Grantee fails to perform adequately the services required in this Agreement.
- The Grantee fails to furnish the required product or services within the time stipulated in this Agreement.
- The Grantee fails to make progress in the performance of the requirements of the Agreement and/or gives a positive indication that the Grantee will not or cannot perform to the requirements of this Agreement.

If the Grantee does not correct any problem(s) within ten (10) days after receiving the notice of default, First Things First may cancel the Contract. If First Things First cancels the Contract pursuant to this clause, First Things First reserves all rights or claims to damage for breach of the Contract and the Grantee agrees to a general release in favor of First Things First for any claim for reimbursement.

- 7.3 Non-Exclusive Remedies. The rights and the remedies of First Things First under this Contract are not exclusive.

## **8. Contract Termination**

- 8.1 Cancellation for Conflict of Interest. Pursuant to A.R.S. §38-511, First Things First may cancel this Contract within three (3) years after Contract execution without penalty or further obligation if any person significantly involved in initiating, negotiating, securing, drafting or creating the Contract on behalf of First Things First is or becomes at any time while the Contract or an extension of the Contract is in effect an employee of or a consultant to any other party to this Contract with respect to the subject matter of the Contract. The cancellation shall be effective when the Grantee receives written notice of the cancellation unless the notice specifies a later time. If the Grantee is a political subdivision of the State of Arizona, it may also cancel this Contract as provided in A.R.S. §38-511.

- 8.2 Suspension or Debarment. First Things First may, by written notice to the Grantee, immediately terminate this Contract if First Things First determines that the Grantee has been debarred, suspended or otherwise lawfully prohibited from participating in any public procurement activity, including but not limited to, being disapproved as a subcontractor of any public procurement unit or other governmental body. Submittal of an Application or execution of a contract shall attest that the Grantee is not currently suspended or debarred. If the Grantee becomes suspended or debarred, the Grantee shall immediately notify First Things First.



8.3 Termination for Convenience. First Things First reserves the right to terminate the Contract, in whole or in part at any time, when in the best interests of First Things First without penalty or recourse. Upon receipt of the written notice, the Grantee shall stop all work, as directed in the notice, notify all subcontractors of the effective date of the termination and minimize all further costs to First Things First. In the event of termination under this paragraph, all documents, data and reports prepared by the Grantee under the Contract shall become the property of and be delivered to First Things First upon demand. The Grantee shall be entitled to receive just, equitable compensation for work in progress, work completed, and materials accepted before the effective date of the termination. The cost principles and procedures provided in A.A.C. R2-7-701 shall apply.

8.4 Termination for Default. In addition to the rights reserved in the contract, First Things First may terminate the Contract in whole or in part due to the failure of the Grantee to comply with any term or condition of the Contract, to acquire and maintain all required insurance policies, bonds, licenses and permits, or to make satisfactory progress in performing the Contract. The Grants and Contracts Procurement Specialist shall provide written notice of the termination and the reasons for it to the Grantee. Upon termination under this paragraph, all materials, documents, data and reports prepared by the Grantee under the Contract shall become the property of and be delivered to First Things First on demand. Upon termination of this Contract, First Things First may procure, on terms and in the manner that it deems appropriate, materials or services to replace those under this Contract. The Grantee shall be liable to First Things First for any excess costs incurred by First Things First in procuring services in substitution for those due from the Grantee.

## **9. Contract Claims**

9.1 Arbitration. The parties to this Contract agree to resolve all disputes arising out of or relating to this contract through arbitration, after exhausting applicable administrative review, to the extent required by A.R.S. §12-1518, except as may be required by other applicable statutes (Title 41).

## **10. State of Arizona General Uniform Terms and Conditions**

The latest edition of the Arizona Uniform General Terms and Conditions and Uniform Instructions to Applicants is incorporated into this Request for Grant Application by reference. Copies may be obtained from the Arizona State Procurement Office at (602) 542-5511 or at: <http://azdoa.gov/agencies/spo/docs/UTCv7.pdf>.

## Checklist

Use the following list to make sure your Grant Application is complete and meets the requirements specified in this request for grant Applications:

- ☐ One (1) original copy marked “original”, and nine (9) additional copies
- ☐ Completed and signed First Things First Offer and Acceptance form
- ☐ Signed copy of all amendments issued for the RFGA (if applicable)
- ☐ Table of Contents
- ☐ Application including Executive Summary and response to all 27 questions
- ☐ Standard Data Collection Form completed, Attachment A
- ☐ State of Arizona Substitute W-9 Form (must be downloaded and printed) signed, if applicable, [http://www.gao.az.gov/onlineforms/forms/AZ\\_subw-9\\_010410.pdf](http://www.gao.az.gov/onlineforms/forms/AZ_subw-9_010410.pdf)
- ☐ Applicant’s Experience completed, Attachment B
- ☐ Key Personnel Overview completed, Attachment C
- ☐ Implementation Plan completed, Attachment D
- ☐ Funds Requested Page, completed and signed, Attachment E
- ☐ Standard Line Item Budget, completed and signed, Attachment F
- ☐ Budget Narrative, completed and signed, Attachment G
- ☐ Disclosure of Other Funding Sources, completed and signed, Attachment H
- ☐ Financial Systems Survey is completed and signed, Attachment I
- ☐ Evaluation Plan, Attachment J
- ☐ Resumes for all personnel listed in the budget
- ☐ One copy of your agency’s most recent audited, reviewed or compiled financial statements as well as a schedule showing the total federal funds (by granting agency) expended by your agency for the most recent fiscal year included with the Application marked Original.
- ☐ Page numbers are included on all pages, in sequence, twelve point font or larger and single-spaced, with one inch margins or wider.
- ☐ In the original application, documents requiring signatures should have **ORIGINAL** signatures.
- ☐ Do **NOT** bind your Application in spiral binders or in 3-ring notebooks. Please submit your Applications either stapled in the upper left-hand corner or use a binder clip.
- ☐ When submitting your Application, insure your organization name and the Request for Grant Application Number (**found on Page 1 of this RFGA**) is CLEARLY marked on the outside of the SEALED envelope/package.
- ☐ It is the responsibility of each Applicant to insure their Application is delivered to First Things First by the due date and time listed on Page 2 of this RFGA. Please allow for such contingencies as heavy traffic, weather, directions, parking, security, etc.

## Attachments and Exhibits

Attachment A	Standard Data Collection Form
Attachment B	Applicant's Experience
Attachment C	Key Personnel Overview
Attachment D	Implementation Plan
Attachment E	Funds Requested Page
Attachment F	Line Item Budget Form
Attachment G	Budget Narrative Explanation
Attachment H	Disclosure of Other Funding Sources
Attachment I	Financial Systems Survey
Attachment J	Evaluation Plan
Exhibit A	Minimum Standards for Tribal Child Care, A Health and Safety Guide
Exhibit B	First Things First Standards of Practice for Quality, Access, and Affordability: Support for Home-Based Child Care Providers Standards of Practice
Exhibit C	Standard Terms Defined
Exhibit D	Sample Certificate of Insurance

## **Attachment A**

### **FIRST THINGS FIRST STANDARD DATA COLLECTION FORM**

#### **A. Agency Information:**

Program Name (if applicable) \_\_\_\_\_

Agency \_\_\_\_\_ Contact Person \_\_\_\_\_

Address \_\_\_\_\_ Position \_\_\_\_\_

Address \_\_\_\_\_ Email \_\_\_\_\_

City, State, Zip \_\_\_\_\_ Phone \_\_\_\_\_ x \_\_\_\_\_ Fax \_\_\_\_\_

County \_\_\_\_\_ Employer Identification Number: \_\_\_\_\_

Agency Classification: \_\_\_\_\_ State Agency \_\_\_\_\_ County Government \_\_\_\_\_ Local Government \_\_\_\_\_ Schools

\_\_\_\_\_ Tribal \_\_\_\_\_ Faith Based \_\_\_\_\_ Other

Have you previously conducted business with First Things First using this EIN? \_\_\_\_\_Y \_\_\_\_\_N

If **NO**, please go to the following website, download the State of Arizona Substitute W-9 Form and submit with your Application: [http://www.gao.az.gov/Vendor/account\\_setup\\_home.asp](http://www.gao.az.gov/Vendor/account_setup_home.asp).

In which Congressional (Federal) District is your agency? \_\_\_\_\_ Enter District # \_\_\_\_\_

<http://www.azredistricting.org> (click on Final Maps)

In which Legislative (State) District is your agency? \_\_\_\_\_ Enter District # \_\_\_\_\_

<http://www.azredistricting.org> (click on Final Maps)

Approximately how much FEDERAL funding (from a Federal Source) will your organization expend in your current fiscal year? \$ \_\_\_\_\_

What is your organization's fiscal year-end date? \_\_\_\_\_

Accounting Method: \_\_\_\_\_ Cash \_\_\_\_\_ Accrual

Does your organization undergo an annual independent audit in accordance with OMB Circular A-133? \_\_\_\_\_Y \_\_\_\_\_N

Please provide contact information of the audit firm conducting your audit:

Agency \_\_\_\_\_

Address \_\_\_\_\_

Phone Number \_\_\_\_\_

#### **B. Proposed Program Information / Description:**

Amount requested: \_\_\_\_\_

Service area of proposed program: \_\_\_\_\_

Target population of proposed program: \_\_\_\_\_

Number of participants to be served: \_\_\_\_\_

Please provide a **brief** description of the **proposed program** in one or two paragraphs and this will be the source for a public description describing the nature of the program being implemented that will be used by First Things First.

**C. Contact Information**

First Things First Partner and Grants Management System (PGMS) requires four designated contacts for contact with First Things First related to this grant (the same person may be assigned to more than one of the roles, if appropriate).

---

**Main Contact Information** – This should be information for the person designated as the Main contact for this grant award and this person can view all information related to this grant (financial, programmatic & evaluation in nature). This person will also be the primary contact for First Things First and should be the person responsible for ensuring the program plan is implemented. Primary correspondence from First Things First will be sent to this person.

Main Contact Person \_\_\_\_\_

Position \_\_\_\_\_

Address \_\_\_\_\_

City, State, Zip \_\_\_\_\_

Email \_\_\_\_\_

Phone \_\_\_\_\_ x \_\_\_\_\_ Fax \_\_\_\_\_

**Program Contact Information** – This should be information for the person designated as the Program contact for this grant award and this person can view information related to this grant for program or evaluation purposes only.

Program Contact Person \_\_\_\_\_

Position \_\_\_\_\_

Address \_\_\_\_\_

City, State, Zip \_\_\_\_\_

Email \_\_\_\_\_

Phone \_\_\_\_\_ x \_\_\_\_\_ Fax \_\_\_\_\_

**Financial Contact Information** – This should be information for the person designated as the financial contact for this grant award and this person can view information related to this grant for financial purposes only.

Financial Contact Person \_\_\_\_\_

Position \_\_\_\_\_

Address \_\_\_\_\_

City, State, Zip \_\_\_\_\_

Email \_\_\_\_\_

Phone \_\_\_\_\_ x \_\_\_\_\_ Fax \_\_\_\_\_

**Evaluation Contact Information** – This should be information for the person designated as the Evaluation contact for this grant award and this person can view information related to this grant for evaluation purposes only.

Evaluation Contact Person \_\_\_\_\_

Position \_\_\_\_\_

Address \_\_\_\_\_

City, State, Zip \_\_\_\_\_

Email \_\_\_\_\_

Phone \_\_\_\_\_ x \_\_\_\_\_ Fax \_\_\_\_\_

In addition, your application may have included information about a collaborating partner/agency. Please replicate this information as many times as necessary to document the participation and agreement to be involved with the application as a collaborating agency/partner.

**Collaborator**

Agency\_\_\_\_\_

Address\_\_\_\_\_

Address\_\_\_\_\_

City, State, Zip\_\_\_\_\_

County\_\_\_\_\_

Contact Person\_\_\_\_\_

Position\_\_\_\_\_

Email\_\_\_\_\_

Phone\_\_\_\_\_x\_\_\_\_\_Fax\_\_\_\_\_

**Collaborator**

Agency\_\_\_\_\_

Address\_\_\_\_\_

Address\_\_\_\_\_

City, State, Zip\_\_\_\_\_

County\_\_\_\_\_

Contact Person\_\_\_\_\_

Position\_\_\_\_\_

Email\_\_\_\_\_

Phone\_\_\_\_\_x\_\_\_\_\_Fax\_\_\_\_\_

**Collaborator**

Agency\_\_\_\_\_

Address\_\_\_\_\_

Address\_\_\_\_\_

City, State, Zip\_\_\_\_\_

County\_\_\_\_\_

Contact Person\_\_\_\_\_

Position\_\_\_\_\_

Email\_\_\_\_\_

Phone\_\_\_\_\_x\_\_\_\_\_Fax\_\_\_\_\_

**Collaborator**

Agency\_\_\_\_\_

Address\_\_\_\_\_

Address\_\_\_\_\_

City, State, Zip\_\_\_\_\_

County\_\_\_\_\_

Contact Person\_\_\_\_\_

Position\_\_\_\_\_

Email\_\_\_\_\_

Phone\_\_\_\_\_x\_\_\_\_\_Fax\_\_\_\_\_

## **Attachment B**

### **APPLICANT'S EXPERIENCE**

Name and address of organization for which the service or activity was provided:
Location where services or activities were conducted:
Dates the service or activity was conducted: (e.g., October 2007 – September 2008)
Describe the services or activities that were provided:
Describe what was achieved with the services or activities: (e.g., increased knowledge among 20% of program participants, served 100 children, etc.)



## **Attachment C**

### **KEY PERSONNEL OVERVIEW\***

<b>STAFF MEMBER</b>	<b>BACKGROUND AND EXPERTISE OF PERSONNEL</b>
Name: Title: FTE on this project:	
Name: Title: FTE on this project:	
Name: Title: FTE on this project:	
Name: Title: FTE on this project:	
Name: Title: FTE on this project:	
Name: Title: FTE on this project:	

**\*In addition to this overview, please attach a resume (for current personnel) or a job description (for positions to be hired) for the key individuals involved in the project. If awarded and your project experiences changes in staff, notification must be sent to First Things First. Also, if your are describing a position to be hired, you must send staff notification and resume to First Things First when the position is filled.**

**Attachment D**

**July 2010 – June 2011 Implementation Plan**

Activities	Task	Person Responsible	Date Task Will Be Completed/Timeline	Support Documentation

## **Attachment E**

### **FUNDS REQUESTED PAGE**

The Offer must state a firm, fixed total guaranteed not-to-exceed amount of funds requested for the Grant.

\$\_\_\_\_\_ Total Funds Requested

Authorized Signature\_\_\_\_\_

Date\_\_\_\_\_

Job Title\_\_\_\_\_

## **Attachment F and G Instructions**

### **How to Complete the Line Item Budget and Budget Narrative**

Complete a 12 month budget for the period of July 1, 2010 through June 30, 2011 using the template provided in Attachment F. Please make sure you include a budget narrative with Attachment G as a sample of the type of information that would complete your budget narrative explaining the costs and how they are appropriate and necessary for the project.

In your line item budget and budget narrative list all resources that will be needed to implement the program/strategy(ies) described. These financial resources may involve costs for personnel, employee related costs, training, travel, supplies, space, equipment, computer equipment necessary to enter data into the First Things First grants management system (PGMS), program narratives, financial reimbursements, etc. All travel related costs for these trainings and meetings should be included in the Applicant's budget and calculated using the State of Arizona travel rate limitations for mileage, per diem and lodging as described on the budget narrative worksheet. For more information about the state requirements, visit <http://www.gao.az.gov/travel/>.

Funding shall be limited to those items specifically listed in the proposed budget. Total funding may not be modified following award of the grant/contract. Requests for line item modifications, which do not change the total program funding, shall be requested in writing and shall only be made following receipt of written authorization from First Things First.

Matching Funds are required for this grant application. Matching funds listed must support the application and are subject to financial and programmatic monitoring by First Things First.

Please note the line items included in the budget template represent the types of costs possible for a line item budget these line items may or may not be applicable or appropriate for your Application. Your budget line items requested must fit within one of the categories listed. However, it is expected that you would not need to utilize all of the sample line items.

## Attachment F

### LINE ITEM BUDGET FOR LISTING MATCHING FUNDS

While you must use this format, you may reproduce it with Word Processing or Spreadsheet software. **Limit your budget line items to the budget categories and to the budget subcategories listed.** Detail in the budget narrative strengthens justification of items.

**Budget period: July 1, 2010 – June 30, 2011**

Budget Category	Line Item Description	Requested Funds	Matching Funds AND Source**	Total Cost
<b>PERSONNEL SERVICES</b>			<b>Personnel Services Total</b>	\$
Salaries				
<b>EMPLOYEE RELATED EXPENSES</b>			<b>Employee Related Expenses Total</b>	\$
Fringe Benefits or Other ERE				
<b>PROFESSIONAL AND OUTSIDE SERVICES</b>			<b>Professional &amp; Outside Services Total</b>	\$
Contracted Services				
<b>TRAVEL</b>			<b>Travel Total</b>	\$
In-State Travel Out of State Travel				
<b>AID TO ORGANIZATIONS OR INDIVIDUALS</b>			<b>Total Aid to Organizations or Individuals</b>	\$
Subgrants or Subcontracts to organizations/agencies/entities				
<b>OTHER OPERATING EXPENSES</b>			<b>Other Operating Expenses Total</b>	\$
<ul style="list-style-type: none"> <li>• Telephones/Communications Services</li> <li>• Internet Access</li> <li>• General Office Supplies</li> <li>• Food</li> <li>• Rent/Occupancy</li> <li>• Evaluation (non-contracted and non-personnel expenses)</li> <li>• Utilities</li> <li>• Furniture</li> <li>• Postage</li> <li>• Software (including IT supplies)</li> <li>• Dues/Subscriptions</li> <li>• Advertising</li> <li>• Printing/Copying</li> <li>• Equipment Maintenance</li> <li>• Professional Development/Staff Training</li> <li>• Conference Workshops/ Training Fees for Staff</li> <li>• Insurance</li> <li>• Program Materials</li> <li>• Program Supplies</li> <li>• Scholarships</li> <li>• Program Incentives</li> </ul>				
<b>NON-CAPITAL EQUIPMENT</b>			<b>Non-Capital Total</b>	\$
Equipment \$4,999 or less in value				
<b>Subtotal Direct Program Costs:</b>		\$	\$	\$
<b>ADMINISTRATIVE/INDIRECT COSTS</b>			<b>Total Admin/Indirect</b>	\$
Indirect/Admin Costs				\$
<b>Total</b>		\$	\$	\$

Authorized signature \_\_\_\_\_ Date \_\_\_\_\_

Job Title \_\_\_\_\_

## **Attachment G**

### **BUDGET NARRATIVE EXPLANATION**

The purpose of the budget narrative is to provide more clarity and detail on the various budget line items. The budget narrative should explain the criteria used to compute the budget figures on the budget form. Please verify that the narrative and budget form correspond and the calculations and totals are accurate. ***Please include one narrative that matches the 12 month line item budget categories and subcategories.***

**Personnel Services:** *Include information such as position title(s), name of employee (if known), salary, time to be spent on this program (hours or %), number of months assigned to this program, etc. Explain how the salary rate for each position was determined. If salaries are expected to increase during the project year, indicate the percentage increases for each position and justify the percent of the salary increase. Also, be sure to include the scheduled salary increases on the Budget Form.*

**Employee Related Expenses:** *Include a benefit percentage and what expenses make up employee benefit costs. Indicate any special rates for part-time employees, if applicable. Explain how the benefits for each position were determined. If using a fringe benefit rate, explain how this percentage is justified or approved by your agency.*

**Professional and Outside Services:** *If professional consultants/services costs are proposed in the budget, define how the costs for these services were determined and the justification for the services related to the project. Explain how all contracts will be procured.*

**Travel:** *Separate travel that is in-state and out-of-state. Include a detailed breakdown of hotel, transportation, meal costs, etc. Indicate the location(s) of travel, the justification for travel, how many employees will attend and how the estimates have been determined. Explain the relationship of each cost item to the project (e.g., if training or training expenses are requested, explain the topic of the training and its relationship to the project). Applicants **must** use the State of Arizona Travel Policy on rates limitations for mileage, lodging, and meals (<http://www.gao.az.gov/travel/>) for both in-state and out-of-state travel.*

**Aid to Organizations or Individuals:** *In the event that this application represents collaboration and the contract will be utilizing other sub grantees or subcontractors to perform various components of the program, include a list of sub grantees, programmatic work each sub grantee will perform, and how costs for each sub grantee are determined.*

**Other Operating Expenses:** *Explain each item to be purchased, how the costs were determined and justify the need for the items. All purchases should be made through competitive bid or using established purchasing procedures. All items should be categorized in the following categories: Telephones / Communications Services, Internet Access, General Office Supplies, Food, Rent/Occupancy, Evaluation (non-contracted and non-personnel expenses), Utilities, Furniture, Postage, Software (including IT supplies), Dues/Subscriptions, Advertising, Printing/Copying, Equipment Maintenance, Professional Development/Staff Training, Conference Workshops/ Training Fees for Staff, Insurance, Program Materials, Program Supplies, Scholarships, and Program Incentives*

**Non-Capital Equipment:** *For items with a unit cost less than \$5,000 and an initial estimated useful life beyond a single year, explain each item to be purchased, how the costs were determined and justify the need for the items. All purchases should be made through competitive bid or using established purchasing*

procedures. For example, items such as computers, printers, projectors, etc. each with a unit cost less than \$5,000.

**Administrative/Indirect Costs:** *Administrative costs are general or centralized expenses of overall administration of an organization that receives grant funds and does not include particular program costs. For organizations that have an established federally approved indirect cost rate for Federal awards, indirect costs mean those costs that are included in the organization's indirect cost rate. Such costs are generally identified with the organization's overall operation and are further described in 2 CFR 220, 2 CFR 225, and 2 CFR 230.*

**Applicants must list either Option A or Option B and provide proper justification for expenses included:**

- ☐ **Option A - Administrative Costs:** *with proper justification, sub grantees may include an allocation for administrative costs for up to 10% of the total direct funds requested of the grant request. Administrative costs may include allocable direct charges for: costs of financial, accounting, auditing, contracting or general legal services; costs of internal evaluation, including overall organization's management improvement costs; and costs of general liability insurance that protects the organization(s) responsible for operating a project, other than insurance costs solely attributable to the project. Administrative costs may also include that portion of salaries and benefits of the project's director and other administrative staff not attributable to the time spent in support of a specific project.*

**Or**

- ☐ **Option B - Federally Approved Indirect Costs:** *If your organization has a federally approved indirect cost rate agreement in place, grantees may include an allocation for indirect costs for up to 10% of the grant request. **Applicants must provide a copy of their federally approved indirect cost rate agreement.***

*Indirect costs are costs of an organization that are not readily assignable to a particular project, but are necessary to the operation of the organization and the performance of the project. The cost of operating and maintaining facilities, depreciation, and administrative salaries are examples of the types of costs that are usually treated as indirect.*

Authorized signature\_\_\_\_\_ Date\_\_\_\_\_

Job Title \_\_\_\_\_

## **Attachment H**

### **DISCLOSURE OF OTHER FUNDING SOURCES**

Please list all other funding that your organization currently receives from State or Public Agencies, Federal Agencies, Non-Profit Organizations, or any other source providing funding for the proposed Program\*. A.R.S. §8-1183 provides for a prohibition on supplanting of state funds by First Things First expenditures, meaning that no First Things First monies expended are to be used to take the place of any existing state or federal funding for early childhood development and health programs.

Use a continuation sheet if necessary. The following form may be reproduced with word processing software or another form may be created that contains all the information requested.

<b>Type of Funding (Federal, State, local, other)</b>	<b>Received From</b>	<b>Amount</b>	<b>✓ If used for match on this grant</b>
<b>TOTAL:</b>			

**\*This table should include only those funds that will support the program detailed in this Application.**

Authorized signature\_\_\_\_\_ Date\_\_\_\_\_

Job Title \_\_\_\_\_



## **Attachment I**

### **FIRST THINGS FIRST FINANCIAL SYSTEMS SURVEY**

Name of Applicant: \_\_\_\_\_

**Please answer every question by filling in the circle next to the correct answer. Attach materials and document comments as required.**

As stewards of federal and state funds, First Things First awards funds to organizations (regardless of how small or large) that are both capable of achieving project goals/objectives and upholding their responsibility for properly managing funds as they achieve those objectives.

This survey will be used primarily for initial monitoring of the organization. This survey may also be used in evaluating the financial capability of the organization in the award process. Deficiencies should be addressed for corrective action and the organization should consider procuring technical assistance in correcting identified problems.

#### **A. GENERAL INFORMATION**

1. Has your organization received a Federal or State Grant within the last two years?	<input type="radio"/> YES <input type="radio"/> NO
2. Has your organization completed an A-133 Single Audit within the past two years? If yes, please <b>attach</b> a complete copy of your A-133 Audit, including, but not limited to, your Management Letter, Findings and Questioned Costs.	<input type="radio"/> YES <input type="radio"/> NO
3. If your organization has not completed an A-133 Single Audit, have your financial statements been audited, reviewed or compiled by an independent Certified Public Accountant within the past two years? If yes, please <b>attach</b> a complete copy of the most recent audited, reviewed or compiled financial statements. NOTE THAT ONLY ONE COPY OF YOUR AUDIT NEEDS TO BE INCLUDED WITH THE APPLICATION MARKED "ORIGINAL". It is not necessary to include additional copies with each copy of the completed Application.	<input type="radio"/> YES <input type="radio"/> NO
4. Please <b>attach</b> a schedule showing the TOTAL federal funds (by granting agency) expended by your agency for the most recent fiscal year. Note: If your organization had an A-133 Single Audit, a copy of the "Schedule of Expenditures for Federal Awards" can be submitted. ONLY ONE COPY IS NEEDED, TO BE INCLUDED WITH THE APPLICATION MARKED "ORIGINAL"	<input type="radio"/>
5. Has your organization been granted tax-exempt status by the Internal Revenue Service?	<input type="radio"/> YES <input type="radio"/> NO <input type="radio"/> N/A
6. If you answered YES to question #5, under what section of the IRS code? O 501 C (3) O 501 C (4) O 501 C (5) O 501 C (6) O Other  Specify: _____	
7. Does your organization have established policies related to salary scales, fringe benefits, travel reimbursement and personnel policies?	<input type="radio"/> YES <input type="radio"/> NO

## B. FUNDS MANAGEMENT

1. Which of the following describes your organization's accounting system?	<input type="radio"/> Manual <input type="radio"/> Automated <input type="radio"/> Combination
2. How frequently do you post to the General Ledger?	<input type="radio"/> Daily <input type="radio"/> Weekly <input type="radio"/> Monthly <input type="radio"/> Other
3. Does the accounting system completely and accurately track the receipt and disbursements of funds by each grant or funding source?	<input type="radio"/> YES <input type="radio"/> NO
4. Does the accounting system provide for the recording of actual costs compared to budgeted costs for each budget line item?	<input type="radio"/> YES <input type="radio"/> NO
5. Are time and effort distribution reports maintained for employees working fully or partially on state or federal grant programs that account for 100% of each employee's time?	<input type="radio"/> YES <input type="radio"/> NO
6. Is your organization familiar with Federal Cost Principles (i.e., 2 CFR 220, 2 CFR 225, and 2 CFR 230)?	<input type="radio"/> YES <input type="radio"/> NO
7. How does your organization plan to charge common/indirect costs to this grant?  <b>NOTE:</b> Those organizations using allocable direct charges <b>must attach</b> a copy of the methodology and calculations in determining those charges. Those organizations using a federally approved indirect cost rate <b>must attach</b> a copy of the approval documentation issued by the federal government.	<input type="radio"/> Direct Charges <input type="radio"/> Utilizing an Indirect Cost Allocation Plan or Rate

## C. INTERNAL CONTROLS

1. Are duties of the bookkeeper/accountant segregated from the duties of cash receipt or cash disbursement?	<input type="radio"/> YES <input type="radio"/> NO
2. Are checks signed by individuals whose duties exclude recording cash received, approving vouchers for payment and the preparation of payroll?	<input type="radio"/> YES <input type="radio"/> NO
3. Are all accounting entries and payments supported by source documentation?	<input type="radio"/> YES <input type="radio"/> NO
4. Are cash or in-kind matching funds supported by source documentation?	<input type="radio"/> YES <input type="radio"/> NO
5. Are employee time sheets supported by appropriately approved/signed documents?	<input type="radio"/> YES <input type="radio"/> NO
6. Does the organization maintain policies that include procedures for assuring compliance with applicable cost principles and terms of each grant award?	<input type="radio"/> YES <input type="radio"/> NO

## D. PROCUREMENT

1. Does the organization maintain written codes of conduct for employees involved in awarding or administering procurement contracts?	<input type="radio"/> YES <input type="radio"/> NO
2. Does the organization conduct purchases in a manner that encourages open and free competition among vendors?	<input type="radio"/> YES <input type="radio"/> NO
3. Does the organization complete some level of cost or price analysis for every major purchase?	<input type="radio"/> YES <input type="radio"/> NO
4. Does the organization maintain a system of contract administration to ensure Grantee conformance with the terms and conditions of each contract?	<input type="radio"/> YES <input type="radio"/> NO
5. Does the organization maintain written procurement policies and procedures?	<input type="radio"/> YES <input type="radio"/> NO

**E. CONTACT INFORMATION**

Please indicate the following information. In the event that First Things First has questions about this survey, this individual will be contacted.

Prepared By: \_\_\_\_\_

Job Title: \_\_\_\_\_

Date: \_\_\_\_\_

Phone/Fax/Email: \_\_\_\_\_

**F. CERTIFICATION**

I certify that this report is complete and accurate, and that the Grantee has accepted the responsibility of maintaining the financial systems.

\_\_\_\_\_  
Authorized Signature

**G. COMMENT AND ATTACHMENTS**

Please use the space below to comment on any answers in Sections A – D. Please indicate the Section and Question number next to each comment.

Number of Attachments (please number each attachment): \_\_\_\_\_

COMMENTS:

**Attachment J**

**Data Collection & Evaluation Plan**

Performance Measure	Data to Collect	Plan for Data Collection	Plan for Using the Data	Quality Assurance

# **Minimum Standards for Tribal Child Care**

## ***A Health and Safety Guide***



DEPARTMENT OF HEALTH & HUMAN SERVICES

ADMINISTRATION FOR CHILDREN AND FAMILIES CHILD CARE BUREAU



## INTRODUCTION

The Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (Public Law 104-193) requires that in lieu of any licensing and regulatory requirements applicable under State and local law, the U.S. Department of Health and Human Services shall develop minimum child care standards for Indian Tribes and Tribal Organizations receiving funds under the Child Care and Development Fund (CCDF). The law requires that the standards be developed in consultation with Indian Tribes and Tribal Organizations and appropriately reflect tribal needs and available resources.

The Minimum Tribal Child Care Standards were first published in April 2000 after three years of consultation with Tribes, tribal organizations, and tribal child care programs. To oversee the development of the standards, the Child Care Bureau, U.S. Department of Health and Human Services, convened the Tribal Child Care Standards Advisory Committee that included representatives from tribal child care programs, the Child Care Bureau, the Indian Health Service, the Maternal and Child Health Bureau, the Head Start Bureau (American Indian Programs Branch), the American Academy of Pediatrics, and other health and child care organizations. In addition, the Child Care Bureau has undertaken several activities to inform and consult with Tribal Leaders, including holding consultative sessions with Tribal Leaders and tribal CCDF programs at ACF's annual American Indian/Alaska Native Child Care Conferences.

The Child Care Bureau is reissuing the minimum standards as a "Health and Safety Guide" for CCDF Tribal Lead Agencies in conjunction with the 2005 Tribal Cluster Trainings, "Supporting the Physical, Social, and Emotional Wellness of Our Tribal Children." These voluntary guidelines represent the baseline from which all programs should operate to ensure that children are cared for in healthy and safe environments and that their basic needs are being met. Many Tribes may currently be exceeding the standards set forth in this document; others may want to use these standards as the starting point for developing their own tribal child care standards.

All CCDF Tribal Lead Agencies should note that these guidelines express minimum standards for health and safety in child care and are not intended to supersede any existing federal, state, tribal, or local laws or regulations. Tribal CCDF programs are responsible for knowing the laws and regulations that govern them and the child care programs that they fund through CCDF and for incorporating these laws and regulations into their tribal child care policies, procedures, and standards, as appropriate.

## SECTION I

### POLICIES/PRACTICES/CAREGIVER TRAINING

#### STAFFING RATIOS AND GROUP SIZES

**Principle:** *Adequate staffing ratios are important for providing quality care to children and retaining staff.*

#### Why This Is Important

- Lower ratios allow for direct supervision and consistent caregiving.
- Children benefit from interaction in smaller groups.
- Smaller groups and lower ratios reduce stress on individual caregivers.
- Close supervision ensures the physical safety of the children and allows for better maintenance of sanitation routines.
- It is important for children to build long-term, trusting relationships with caregivers. Having a small number of caregivers contributes to forming these relationships.

#### Standards

- Caregivers should meet or exceed state standards for child-to-caregiver ratios and group sizes.

- Caregivers should directly supervise infants, toddlers, and preschool children by sight or hearing at all times, even when the children are in sleeping areas. NOTE: In child care centers, caregivers should directly supervise infants, toddlers, and preschool children by sight AND sound at all times, even when the children are in sleeping areas.
- Caregivers should know the whereabouts of the children in their care at all times.

## **CAREGIVER QUALIFICATIONS**

**Principle:** *Children must be cared for and directly supervised by responsible, caring individuals.*

### **Why This Is Important**

- Children need to receive the highest quality of care available.
- Children thrive emotionally, physically, and developmentally in a high quality, nurturing child care environment.

### **Standards**

- Tribes should have a policy for conducting employment and character references on each individual who has contact or control over children in child care settings.
- Tribal child care programs should have a policy for conducting background checks consistent with appropriate federal, state, and tribal laws and regulations and should coordinate their background check policy with other tribal agencies.

## **CAREGIVER TRAINING**

**Principle:** *Well-trained caregivers can provide a healthy and high-quality environment for the children and for themselves.*

### **Why This Is Important**

- Caregivers play an important role in the development of young children and should have all the tools necessary to provide children with optimal care.
- Training ensures caregivers have access to current knowledge and techniques.
- Training can be an opportunity for professional development and networking with other child care providers.
- Joint training with members of the community (physicians or fire safety officials, for example) can expand the level and quality of care for children.
- Child care providers can support families as partners in the child's education and care.

### **Standards**

- The Tribe should have a written plan to ensure the training of caregivers in areas including, but not limited to: health and safety, child development, prevention and control of infectious diseases (including Standard Precautions), child abuse prevention and reporting, first aid/first response, and choking prevention.
- Caregiver training should be documented.

## **PROGRAM POLICIES**

**Principle:** *Established child care health and safety policies, including policies for emergency situations, ensure the safety and well being of all persons in the child care setting.*

### **Why This Is Important**

- Pre-established policies reduce confusion during emergencies.

- Written policies assure parents of the quality of care their child should receive and reduce misunderstandings between the child care providers and family members.
- Prevention strategies can help improve caregiver job satisfaction and morale, and reduce the number and seriousness of injuries and illnesses.

#### **Standards**

- Written policies should be established, implemented, maintained, and available, and should address, but not be limited to, the following content areas: child development, health and safety, prevention and control of infectious diseases, child abuse prevention and reporting, first aid/first response, and management of blocked airway (CPR).
- Policies related to program operation should be shared with parents of children in care.
- All caregivers, other staff, and volunteers should be trained in the importance and implementation of the policies.
- If children will be transported, drivers should be licensed and children should be fastened in the vehicle in an age-appropriate restraint that is properly positioned and installed. Appropriate child passenger restraints should be utilized when any mode of transportation is used.
- To reduce the risk of Sudden Infant Death Syndrome (SIDS), infants should be placed to sleep on their backs unless otherwise directed by the child's physician, and all sleeping arrangements for infants under 12 months of age should use firm mattresses and avoid soft bedding materials such as comforters, pillows, fluffy blankets, or stuffed toys.
- The caregiver should ask parents for information regarding the child's development, health, and behavioral status, especially information about the child's health since the last attendance in the facility. The child's cultural background should be respected in all aspects of the program.
- When bottle feeding, caregivers should hold infants. Infants who are unable to sit should always be held for bottle feeding. The caregiver should not permit bottle propping or infants carrying bottles throughout the day or night.
- Children should not be physically restrained by bonds, ties, or straps for disciplinary purposes. If a child must be restrained for medical reasons, that restraint should occur in accordance with the instruction of the child's physician and/or practitioner and permission of the parent. The use of manufacturer installed safety straps on infant and toddler equipment is permissible.
- Each caregiver should have and implement a written discipline policy that outlines positive methods of guidance appropriate to the ages of the children.

## **SECTION II**

### **BUILDING AND PREMISES**

#### **SAFE ENVIRONMENT**

**Principle:** *Healthy children require a safe physical environment in which to eat, sleep, and play.*

#### **Why This Is Important**

- A well-designed environment within a clean and well-maintained facility supports each child's physical, cognitive, emotional, and social development.
- Proper attention to the issues of safety and sanitation protects the health of children and caregivers and prevents injuries.

#### **Standards**

**The building interior and exterior should be maintained as follows:**



- Guidelines should be developed to assure child care settings are safe, and meet tribal, state, or local fire and safety regulations.
- The caregiver should follow tribal, state, or local guidelines regarding the installation and appropriate use of smoke detectors.
- Smoke detectors and other devices should meet the tribal, state, or local standards.
- Usable space, equipment, and exit arrangements should be adequate for the number, ages, and abilities of the children.
- Indoor and outdoor play areas should be checked for hazards daily and prior to their use by children.
- Paint on both interior and exterior premises should be free from hazardous quantities of lead. It is recommended that tribal programs seek assistance in assessing lead paint levels by contacting the Indian Health Service, tribal sanitarian, or local lead paint assessor who is certified by the Environmental Protection Agency.
- A plan should be in place to ensure routine maintenance, and sanitation procedures should be followed to keep the building clean, sound, and in good repair.
- Sufficient heating and cooling should be provided within the facility to maintain a temperature that will not cause harm to the children.
- Ventilation should be provided to prevent the accumulation of harmful odors and fumes.

**Access and exposure to hazardous materials should be prevented as follows:**

- Poisons, toxic materials, cleaning supplies, sharp or pointed objects, plastic bags, matches, flammable liquids, drugs of any kind, insecticides, and other hazardous materials should be inaccessible to children at all times. Hazardous materials should be properly stored in labeled containers which, if appropriate, should be locked.
- Guns should be equipped with child protective devices and kept under lock and key and separate from ammunition.
- Ponds, pools, stock tanks, or permanently standing water should be enclosed with a fence, or otherwise safeguarded to ensure that they can not be accessed by children. When children are engaged in water play activities, constant supervision should be required.
- Electrical outlets accessible to children should be covered with child resistant safety plugs.
- Smoking, alcohol, and illegal drugs should be prohibited on the premises when children are present. Alcohol, tobacco products, and drugs of any kind should be inaccessible to children at all times.

NOTE: In child care centers, smoking, alcohol, and illegal drugs should be prohibited on the premises AT ALL TIMES.

- Persons under the influence of alcohol or illegal drugs should not be allowed in the child care setting.

**In the event of an emergency, children and caregivers should be protected as follows:**

- The child care facility should have emergency plans and procedures in place that are appropriate for the child care setting, addressing potential disasters such as fire, hurricane, volcano, flood, blizzard, tornado, etc. These plans and procedures, excluding child-specific information, should be prominently posted in public areas of the facility.
- Emergency plans should include:
- A record of two emergency contact persons for each child;
- Permission slips for emergency transport to health care facilities for the provision of emergency care, signed by parents or legal guardians;
- Permission for emergency treatment;

- A hospital and physician of choice as designated by the parent or guardian; and
- Individual plans for children with special health care needs, including allergies, developed by that child's physician.
- Telephones or another identified and acceptable means of communication should be available to facilitate contact with emergency services.
- The child care setting should have a minimum of two unobstructed exits leading to safe, open areas.
- Emergency evacuation procedures should be in place and posted prominently within the child care setting. Evacuating children should be the first priority in the event of a fire or other emergency.
- Approved, properly maintained, multi-purpose fire extinguishers, appropriate for the size of the child care setting, should be readily available, and caregivers should be trained on their operation.
- An appropriately stocked first aid kit should be present and easily accessible to caregivers at all times, including during field trips and while transporting children. At a minimum, it should include: emergency plans, disposable gloves, band-aids and bandages, tape, sterile gauze pads, roll gauze, scissors, emergency numbers, first aid resource guide, and an insect sting kit.

**Equipment should be maintained to reduce the possibility of injury as follows:**

- Materials, toys, and furnishings should be safe, age appropriate, durable, and maintained in good condition.
- The layout and maintenance of all indoor and outdoor equipment and surfaces should be carefully selected to minimize the possibility of injury to children.
- Equipment should be stored in a safe and orderly fashion when not in use.
- Infant and toddler toys should be made of non-toxic materials and should be cleaned and/or sanitized at least daily. When soiled, they should be removed from use until they have been cleaned and sanitized. If the toys are not used, they should be cleaned weekly.
- Cribs, cradle boards, and/or infant sleep equipment should keep the infant safe from the dangers of suffocation, and should not allow a child to either fall, become entrapped, or have clothing tangled on protrusions.
- No child should sleep on a bare, uncovered surface. Seasonally appropriate covering, such as sheets or blankets that are sufficient to maintain adequate warmth, should be available and should be used by each child below school age. Sleeping arrangements for infants under 12 months of age should follow SIDS prevention strategies as outlined on page 4.
- Children should not share bedding. Related children may share sleeping arrangements with parental approval. Each item of sleep equipment (sheets, blankets, pillows, etc.) should be assigned to an individual child and should be used only by that child while he/she is enrolled in the child care program. Each mat, cot, or crib mattress should be covered with the child's individual sheet for exclusive use by that child.

**NURTURING AND ENRICHING ENVIRONMENT**

**Principle:** *A nurturing and enriching child care environment stimulates learning across all domains of a child's development: social, emotional, cognitive, and physical.*

**Why This Is Important**

- The quality of a child's surroundings can have a significant effect on his or her happiness and emotional well-being.
- Children who are encouraged to respect the feelings and rights of others engage in positive relationships that build social competence.

- Healthy child development and brain growth requires human contact as well as interesting and stimulating surroundings.

#### **Standards**

- A written plan for daily activities should be in place. The daily plan should include the goals for children's development and learning and the activities through which they will achieve these goals.
- Daily routines should be established to allow children to develop expectations and feel secure at the child care setting.
- Caregivers should model respect for the feelings and rights of others, and provide an environment that respects gender, culture, ethnicity, family composition, and the special emotional, cognitive and developmental needs of the individual child.
- The child care setting should include toys, activities, and materials that are safe and appropriate for the various developmental stages of the children in care.
- All equipment in the setting should be designed to support the abilities and developmental levels of the children served, with adaptations made as necessary to support children with disabilities.

#### **TRANSPORTATION**

**Principle:** *Children should always be transported in a safe manner.*

#### **Why This Is Important:**

- Motor vehicle accidents are the leading cause of death for children in the United States.

#### **Standards**

- If children are transported, a written permission slip signed by a parent or recognized guardian should be on file.
- Children should be required to use safety belts or, for children under age 4, federally approved and properly installed child passenger restraint systems (car seats) or other appropriate child passenger safety seats appropriate for the mode of transportation.
- Children should never be transported in the rear of a pick-up truck.
- The National Highway Traffic Safety Administration (NHTSA) recommends placing all children 12 and under in the rear seat. In the event that no option exists for placing a child in the rear seat, the following steps should be taken:
  - Properly restrain the child.
  - Push vehicle seat all the way back to maximize distance between child and air bag.
  - Seat child directly against the seat back.
  - Children should never be left unattended in vehicles.
  - Only licensed drivers should be allowed to transport children.
  - Appropriate child-to-caregiver ratios should be maintained during the transportation of children.
  - Strict policies should be developed to prevent persons under the influence of alcohol or illegal drugs from operating vehicles while transporting children.
  - Automobile insurance should be maintained to meet or exceed minimum state standards.
  - Vehicles should be routinely inspected and maintained to ensure that all safety features are operational.
- There should be no smoking in vehicles when transporting children.

### **SECTION III**

#### **INFECTION CONTROL**

## **IMMUNIZATIONS**

**Principle:** *Immunizations prevent the spread of disease.*

### **Why This Is Important**

- Diseases may spread quickly in all child care settings.
- Young children may be more vulnerable to certain vaccine-preventable diseases.
- Child care can provide a service by identifying children who need immunizations and referring them to available health care resources.
- Since public school attendance requires immunizations, it is important for young children to receive required immunizations, appropriate health examinations, and other health services in the early years of life.

### **Standards**

- Children receiving care should be age-appropriately immunized in accordance with Indian Health Service (IHS) or State public health agency recommendations.
- Tribes may exempt:
- Children whose parents or guardians object to immunization on religious grounds, and/or
- Children whose medical condition requires that immunizations not be given.

## **SANITATION**

**Principle:** *Proper sanitation practices significantly reduce the spread of disease.*

### **Why This Is Important**

- Germs can be spread in the child care setting, toilet areas, and on toys.
- Practicing good personal and environmental hygiene reduces the incidence of infectious diseases.
- Diapering and the disposal of solid waste in the child care setting create the risk of infection and need to be managed safely.

### **Standards**

- General sanitation equipment should be kept clean, sanitary, and in operable condition.
- Any surface contaminated by body fluids (saliva, mucus, vomit, urine, stools, or blood) should be cleaned and disinfected immediately, and caregivers should use Standard Precautions (see Appendix), including the wearing of gloves, when cleaning contaminated areas.
- Toilet areas, including sinks, countertops, faucets, handles, doorknobs, toilet bowls, and toilet seats, should be cleaned daily. These areas should be cleaned immediately when soiled.
- Potty chairs and changing tables should be cleaned and disinfected after each use.
- Floors should be cleaned daily; when soiled, they should be cleaned immediately. Carpets and rugs should be shampooed when soiled and vacuumed at least daily.
- Toys should be cleaned weekly; when soiled, they should be cleaned immediately. Small toys that children can place in their mouths should be cleaned and disinfected after each use.
- Garbage and rubbish should be removed from rooms where children and adults will be present.
- Garbage and rubbish should be stored in closed containers that prevent access by children, insects, and rodents and other animals.
- Food Service Sanitation
- Food preparation areas should be separate from play, toilet, bathroom, and diaper changing areas, and areas where animals are kept.

NOTE: In child care centers, food preparation areas should be separate from eating areas as well.

- Food preparation areas, including countertops and tabletops, should be cleaned and disinfected before and after each use.
- Dishes, highchair trays, and food service utensils should be cleaned and disinfected after each use. Dishes and food service utensils should be cleaned in separate wash basins from those used to clean up after diaper changing.
- Dishes and food service utensils should be allowed to air dry and stored in a manner that preserves their clean/disinfected status.

## **HANDWASHING**

**Principle:** *Proper handwashing routines are a regular part of every quality child care program's health promotion and disease prevention strategy.*

### **Why This Is Important**

- Thorough handwashing is one of the most important and effective means for preventing disease transmission.

### **Standards**

- All caregivers, volunteers, and children should wash all parts of their hands for at least 10 seconds with soap and water and then rinse them with water. If standing water is used to rinse hands, the water should be fresh for each person and should not be re-used. Running water is preferable.
- All caregivers, volunteers, and children should wash their hands:
  - Before and after eating, giving medication, and participation in moist play;
  - After diapering, toileting, cleaning, and the handling of body fluids, even if gloves are used;
  - After handling animals, animal waste, or animal cages.
- A clean, individual paper or cloth towel should be used for each child within the child care setting. NOTE: In child care centers, paper towels should be used to dry hands and turn off faucet handles. Additionally, in child care centers, signs should be posted at each sink indicating when handwashing is required and the proper steps to follow.
- Each paper towel should be used once by only one individual.

## **FOOD SAFETY**

**Principle:** *Food should be stored, prepared, and served in a manner that prevents the spread of disease.*

### **Why This Is Important**

- Improperly stored food can spoil and/or lead to rodent and insect contamination.
- Poor food preparation practices can lead to contamination and disease.

### **Standards**

#### **Drinking Water**

- Safe drinking water should be accessible to children while indoors or outdoors.
- Drinking water should be dispensed by personal water bottle, drinking fountain, or cups labeled for individual use by each child.

#### **Food Handling**

- Food should be properly wrapped and handled.
- Foods brought from home should be labeled with the child's name, date, and the type of food, and should not be shared with other children unless intended for that purpose.
- Warm food should be maintained at a temperature not less than 140°F.

- Cold foods should be properly refrigerated, maintained at a temperature of 40°F or lower in the refrigerator and 0°F or lower in the freezer.
- Food that has been served on the child's plate and not eaten should be discarded in containers with tight fitting lids that are emptied at least daily.

### **Bottle Feeding and Breastfeeding**

- Breastmilk (if not frozen) and prepared bottles of formula should be kept refrigerated until immediately before use.
- Frozen breastmilk should be thawed under cold running water or in the refrigerator.
- When there is more than one bottle-fed infant, bottles of breastmilk and formula should be labeled with the child's name and should be used only for the intended child.
- Breastmilk or formula should be warmed in a pan of hot, not boiling, water for 5 minutes. The bottle should then be shaken, and the milk temperature tested before feeding.
- Microwaves should never be used to heat bottles of formula or breastmilk.
- Any contents remaining in a bottle of formula or breastmilk after feeding should be discarded.
- Prepared bottles of formula should be discarded after 24 hours if not used.
- Once opened, containers of ready-to-feed or concentrated formula should be kept covered and refrigerated. They should be discarded after 48 hours if not used.
- Unused, expressed breastmilk should be discarded after 48 hours if refrigerated, or after 2 weeks if frozen.

### **Choking Prevention**

- Precautions against choking should be taken when feeding infants and toddlers.
- Caregivers should not offer to children under 4 years of age any foods that are implicated in choking incidents (including foods that are round, hard, small, thick and sticky, smooth, or slippery). Examples of these foods are hot dogs (whole or sliced into rounds), whole grapes, hard candy, nuts, seeds, raw peas, hard pretzels, chips, peanuts, popcorn, marshmallows, spoonfuls of peanut butter, carrot and celery sticks, and chunks of meat larger than can be swallowed whole.

### **Feeding Schedules**

- The caregiver should provide nutritious meals according to a written plan.
- The caregiver should ensure that:
- Children in care for 8 and fewer hours are offered at least one nutritious meal and two nutritious snacks **or** two meals and one snack;
- Children in care for more than 8 hours are offered at least two meals and two snacks **or** three meals and one snack;
- A nutritious snack is offered to all children in midmorning and in midafternoon;
- Children are offered food at intervals of not less than 2 hours apart and not more than 3 hours apart unless the child is asleep.
- Caregivers should feed infants on demand unless the parent provides written instructions otherwise.
- Individuals responsible for food preparation or service should be free of contagious disease.

### **CARE OF ILL CHILDREN**

**Principle:** *Reasonable exclusion criteria for ill children benefit all children in the child care group, their caregivers, and their parents.*

### **Why This Is Important**

- Many illnesses can be spread from person to person, particularly among young children in group care where diapers, drooling, and frequent hand to mouth behavior increase the likelihood of disease transmission.
- Children with more than mild infectious diseases can pose a safety hazard to other children by requiring a disproportionate amount of the caregiver's attention.

#### **Standards**

- A written policy for determining inclusion, exclusion, and dismissal of ill children should be implemented.
- A child should be excluded from the program if:
- The child does not feel well enough to participate comfortably in the usual activities of the program;
- The caregivers cannot care for the sick child without interfering with the care of the other children; or
- Keeping the child in care poses an increased risk to other children or adults in the child care facility, as determined by the caregiver or, if necessary, a local health official.
- A written plan should be in place for caring for an ill child.
- A written plan should be in place addressing the administration of any medication (prescription or over-the-counter) to children in care.

#### **CAREGIVER HEALTH**

**Principle:** *Policies addressing caregiver health are important for ensuring a healthy and safe child care environment.*

#### **Why This Is Important**

- Caregivers can spread disease to children, and children can spread disease to caregivers.
- Caregivers who are physically and emotionally healthy are likely to provide a higher quality of care to children than those who are ill.
- Certain diseases that children may acquire and transmit to others, such as cytomegalovirus (CMV), rubella, and parvovirus, may pose additional risks for caregivers who are pregnant.
- Other diseases such as toxoplasmosis and listeria that can be transmitted through contact with food, feces, and animals may also pose a risk to pregnant caregivers.

#### **Standards**

- Policies should be developed for maintaining and addressing issues related to caregiver health. The policies should include:
- Guidelines for exclusion for illness and the subsequent return to work;
- Information on the major occupational health hazards for caregivers; and
- Stress management techniques.
- A policy should be in place to ensure that all caregivers are physically and emotionally able to care for children. The policy may include an option to request that a caregiver provide a statement of physical fitness to care for young children from his/her doctor or other primary health care professional.

#### **APPENDIX**

##### **STANDARD PRECAUTIONS**

*From Caring for Our Children: National Health and Safety Performance Standards: Guidelines for Out-of-Home Child Care Programs, Second Edition, (2002), page 419:*

## **CLEANING UP BODY FLUIDS**

- Treat urine, stool, vomitus, blood, and body fluids as potentially infectious. Spills of body fluid should be cleaned up and surfaces sanitized immediately.
- For small amounts of urine and stool on smooth surfaces; Wipe off and clean away visible soil with a little detergent solution. Then rinse the surface with clean water.
- Apply a sanitizer to the surface for the required contact time.

### **For larger spills on floors, or any spills on rugs or carpets:**

- Wear gloves while cleaning. While disposable gloves can be used, household rubber gloves are adequate for all spills except blood and bloody body fluids. Disposable gloves should be used when blood may be present in the spill.
- Take care to avoid splashing any contaminated material onto the mucous membranes of your eyes, nose or mouth, or into any open sores you may have.
- Wipe up as much of the visible material as possible with disposable paper towels and carefully place the soiled paper towels and other soiled disposable material in a leak-proof, plastic bag that has been securely tied or sealed. Use a wet/dry vacuum on carpets, if such equipment is available.
- Immediately use a detergent, or a disinfectant-detergent to clean the spill area. Then rinse the area with clean water.
- For blood and body fluid spills on carpeting, blot to remove body fluids from the fabric as quickly as possible. Then spot clean the area with a detergent-disinfectant rather than with a bleach solution. Additional cleaning by shampooing or steam cleaning the contaminated surface may be necessary.
- Sanitize the cleaned and rinsed surface by wetting the entire surface with a sanitizing solution of bleach in water (1/4 cup of household bleach in 1 gallon of water) or an industrial sanitizer used according to the manufacturer's instructions. For carpets cleaned with a detergent-disinfectant, sanitizing is accomplished by continuing to apply and extract the solution until there is no visible soil. Then follow the manufacturer's instructions for the use of the sanitizer to be sure the carpet is sanitized by the treatment.
- Dry the surface.
- Clean and rinse reusable household rubber gloves, then treat them as a contaminated surface in applying the sanitizing solution to them. Remove, dry and store these gloves away from food or food surfaces. Discard disposable gloves.
- Mops and other equipment used to clean up body fluids should be:
  - Cleaned with detergent and rinsed with water;
  - Rinsed with a fresh sanitizing solution;
  - Wrung as dry as possible;
  - Air-dried.
- Wash your hands afterward, even though you wore gloves.
- Remove and bag clothing (yours and those worn by children) soiled by body fluids.
- Put on fresh clothes after washing the soiled skin and hands of everyone involved.

### **References:**

Canadian Paediatric Society. *Well Being: A Guide to Promote the Physical Health, Safety and Emotional Well-Being of Children in Child Care Centers and Family Day Care Homes*, 2nd ed. Toronto, ON; 1996.

Centers for Disease Control and Prevention. *The ABC's of Safe and Healthy Child Care*; 1996.



Centers for Disease Control and Prevention. Guidelines for Prevention of Transmission of Human Immunodeficiency Virus and Hepatitis B Virus to Health-Care and Public Safety Workers. *MMWR*. 1989; 38(S-6): 1-36.

Centers for Disease Control and Prevention. Update: Universal precautions for prevention of transmission of Human immunodeficiency virus, hepatitis B Virus, and other bloodborne pathogens in healthcare settings. *MMWR*. 1988; 37: 377-382, 387-388.

## **RESOURCE LIST**

Numerous publications and organizations exist to provide information and guidance on health and safety in child care programs. A sampling of key resources is provided below.

## **PUBLICATIONS AND ONLINE RESOURCES**

*Caring for Our Children: National Health and Safety Performance Standards: Guidelines for Out-of-Home Child Care, Second Edition* (2002). Published by the American Academy of Pediatrics, the American Public Health Association, and the National Resource Center for Health and Safety in Child Care. Available in fulltext online at <http://nrc.uchsc.edu/>.

*Caring for Our Children* is a comprehensive set of more than 600 health and safety standards for child care programs serving children from birth to age 12. The standards in this Guide are designed to be consistent with those in *Caring for Our Children*.

*Stepping Stones to Using Caring For Our Children, 2nd Edition* (2003). Published by the American Academy of Pediatrics, the American Public Health Association, and the National Resource Center for Health and Safety in Child Care. Available in full-text online at <http://nrc.uchsc.edu/>.

*Stepping Stones* contains a subset of the standards in *Caring for Our Children* that are believed to have the greatest impact on preventing disease, disability, and death in child care programs. *Stepping Stones* was designed to augment *Caring for Our Children*, providing policymakers and program managers with an abridged tool to assist with the development of effective child care policies and regulations.

Head Start National Training Guides. Published by the Head Start Bureau, Administration for Children and Families, U.S. Department of Health and Human Services. Available in full-text online from the Head Start Information and Publication Center (HSIPC) at <http://www.headstartinfo.org/publications/trainingguides.cfm>.

Head Start's series of National Training Guides includes a number of publications on health and safety topics, including *Caring for Children with Chronic Conditions*, *Enhancing Health in the Head Start Workplace*, *Preventing and Managing Communicable Diseases*, and *Safety First: Preventing and Managing Childhood Injuries*. The HSIPC also provides access to other publications and links on health, safety, child development, and other related topics through their Web site, <http://www.headstartinfo.org>.

## **ORGANIZATIONS**

### **American Academy of Pediatrics (AAP)**

Department of Community Pediatrics  
Early Education and Child Care Initiatives  
141 Northwest Point Blvd  
Elk Grove Village, IL 60007

Phone (toll-free): 1-888-227-5409

Fax: 847-228-6432

E-mail: [childcare@aap.org](mailto:childcare@aap.org)

Web site: <http://healthychildcare.org/>

AAP offers resources and links on child care health topics. In addition to providing free and low-cost materials for parents and providers, AAP can also help connect programs to state and local resources and contacts.

#### **National Association for Regulatory Administration (NARA)**

Eastern Office

910 Glen Falls Court

Newark, DE, 19711

Phone: 302-234-4152

Fax: 302-234-4153

E-mail: [Paulinekoch@aol.com](mailto:Paulinekoch@aol.com)

Web site: <http://www.nara-licensing.org/>

NARA is a membership organization for professionals working in the field of human service regulation, including child care licensing. They provide technical assistance/consultation and training in all aspects of regulation and monitoring.

#### **National Child Care Information Center (NCCIC)**

10530 Rosehaven St., Suite 400

Fairfax, VA 22030

Phone (toll-free): 1-800-616-2242

Fax (toll-free): 1-800-716-2242

TTY (toll-free): 1-800-516-2242

E-mail: [info@nccic.org](mailto:info@nccic.org)

Web site: <http://nccic.org>

NCCIC, a clearinghouse funded by the Child Care Bureau, responds to requests for information from the general public on child care issues. NCCIC's comprehensive Web site provides access to a vast array of links and publications on early care and education topics, including health and safety. NCCIC's online State Profiles provide state-specific demographic, statistical, and licensing data, as well as contact information for statewide resources such as child care resource and referral (CCR&R) agencies.

#### **National Resource Center for Health and Safety in Child Care (NRC)**

UCHSC at Fitzsimons

Campus Mail Stop F541; PO Box 6508

Aurora, CO 80045-0508

Phone (toll-free): 1-800-598-KIDS (5437)

Fax: 303-724-0960

E-mail: [natl.child.res.ctr@uchsc.edu](mailto:natl.child.res.ctr@uchsc.edu)

Web site: <http://nrc.uchsc.edu/>

The federally-funded NRC's mission is to promote health and safety in out-of-home child care settings. NRC provides question-and-answer services, as well as full-text online access to a variety of health and safety resources, such as *Caring for Our Children*, *Stepping Stones*, and all State licensing regulations.

#### **Tribal Child Care Technical Assistance Center (TriTAC)**

6858 Old Dominion Drive, Suite 302

McLean, VA 22101

Phone (toll-free): 1-800-388-7670

Fax: 703-821-8626

E-mail: [tritac2@aol.com](mailto:tritac2@aol.com)

Web site: <http://nccic.org/tribal/>

TriTAC, funded by the Child Care Bureau, assists Indian Tribes and tribal organizations in their efforts to enhance the quality, affordability, and availability of child care. TriTAC responds to requests for information about tribal child care and provides an extensive Web site of links and publications on tribal early care and education topics.

This Guide was developed by the Tribal Child Care Technical Assistance Center under PSC Contract Number 233-03-0021, Task Order Number 2 for the U.S. Department of Health & Human Services, Administration for Children and Families, Child Care Bureau.

June 2005

## **Exhibit B**

### **First Things First Quality, Access, and Affordability: Support for Home-Based Child Care Providers Standards of Practice**

National estimates suggest that as many as 60 percent of all children need child care due to parent's employment and of these, as many as 50 percent of children ages five and under are cared for in home-based settings. Home-based care providers largely do not receive regular access to information, education, or training on children's health, safety and child development.

Nationally, in-home care is the most common type of child care for children under the age of five whose parents work (Maher & Joesch, 2005; Snyder, Dore, & Adelman, 2005). Nearly half of all children spend their days – and sometimes their nights – in these types of settings (Boushey & Wright, 2004). Increased availability of information, relevant trainings, and supports for providers who care for children in their homes has been identified by several Regional Councils as a strategy to both address the quality of care being provided, and increase the over-all professional development of these child care providers. Additionally, the strategies include expanding existing services of federal, state, tribal, and community agencies to provide research-based resources, seminars and hands-on training to improve basic parenting/care giving skills, knowledge and understanding.

Evidence suggests that training provided to home-based child care providers can result in positive outcomes for children. For example, a recent report from the Association for Supportive Child Care and Valley of the Sun United Way partnership "Kith and Kin" program, which provided training and support to family, friend, and neighbor caregivers, showed that 81 percent of providers indicated making specific changes in the care provided to children in their care as a result of their involvement in the program. The impact was noted in the following areas: 1) Safety in the home environment, particularly fire safety; 2) Establishing and maintaining a daily schedule for the children; 3) Encouraging providers to utilize the resources of their local library; 4) Developing a written formalized child care services agreement with parents and 5) Increased knowledge regarding the Child and Adult Food Program. Participants in this program indicated interest in providing a higher level of care to the children and families they serve.

ERIC Education Resource Information Center, ED496388, Strategies for Supporting Quality in Kith and Kin Child Care: Findings from the Early Head Start Enhanced Home Visiting Pilot Evaluation. Final Report, <http://eric.ed.gov>

Research has also been conducted relative to promoting the health and safety of children by increasing the knowledge base of families. In several studies regarding toddler obesity, motor

vehicle restraint usage, and increasing father participation in the child-raising process, group sessions, seminars and trainings have been shown to be effective service delivery methods. In recent years, the question of what types of child care programs best prepare children for kindergarten has emerged as a dominant issue in the early care and education public policy agenda. This has been propelled to the forefront due to the national focus on children's school achievement and the widespread creation of state-funded prekindergarten programs for three and four year old children. Growing awareness of the large number of children in these settings and concerns about school readiness have generated increasing interest in efforts to support these caregivers and their need for professional development. (Research to Policy Connections No. 5, Assessing Initiatives for Family, Friend, and Neighbor Child Care, March 2007). First Things First Regional Partnership Councils have therefore directed attention and funding to addressing quality improvement in early care and education services for the growing numbers of children, birth through age five, whose families choose to use home-based child care settings.

First Things First focuses on programs and services that provide children with the best opportunities for school and life success. Funding decisions are based upon a robust process of review to ensure programs are supported by research and use approaches considered best practice.

In supporting home-based child care providers, preference will be given to approaches that are research-based and applicants who have demonstrated positive outcomes for similar target populations.

Successful applicants will be required to:

- Focus on building collaborative partnerships with existing programs and agencies in order to build upon current revenue and funding sources
- Enhance and expand current training opportunities to include home-based child care providers
- Develop evaluative and monitoring processes that are collaborative, ongoing and that include input from providers, program administrators and staff, families, and community members
- Include pre and post evaluative activities that involve self-assessment by home-based providers, and opportunities for feedback conversations with their instructor, coach or mentor
- Identify outreach, engagement and retention practices for providers
- Demonstrate program effectiveness by meeting and addressing First Things First performance measures, outcomes and key measures

- Demonstrate evidence that the Grantee agency can retain high quality mentoring/coaching staff whose tenure ensures program integrity and consistency in provider mentor (coach) relationships

Programs delivering professional development opportunities to support home-based care will be required to ensure that these opportunities are designed and implemented according to the following principles:

- Creation of collaborations with and among agencies and other early care and education stakeholders such as Department of Economic Security, ADHS, Arizona Kith & Kin Project, Child Care Resource and Referral, Regional Libraries, Head Start Programs, School Districts, Child Care Health Consultants, Professional Development Training and Scholarship systems, and other Tribal Programs working with child care home providers
- Response to the diversity among home-based care providers by addressing the variations among providers and responding to the individual needs of providers
- Provision of transportation, or assistance with access to transportation, to and from professional development sessions
- Provision of materials to home-based providers, including safety equipment and/or safety kits, books, or educational materials that are developmentally appropriate for the children being served
- Provision of community-based professional development, including seminars and hands-on training that are evidence-based and relevant to the communities in which providers are working, seminars, small group sessions or other methods of gathering home-based providers together so that information and materials can be delivered, peer connections can be made, and opportunities for discussion and group learning can be accessible and available
- Provision of CPR/First Aid certification, and/or safety training to providers
- Provision of a system of support for home-based child care providers that incorporates a mentoring or coaching component, is research-based and proven to improve the quality outcomes for home-based child care, and that can be provided via a variety of service delivery methods
- To address cultural competency objectives, early childhood practitioners/early childhood service providers shall ensure that children and families receive, from all staff members, effective, understandable, and respectful care that is provided in a culturally competent manner- a manner compatible with their cultural beliefs and practices and preferred language. Early childhood practitioners/early childhood service providers should ensure that staff, at all levels and across all disciplines, receive ongoing education, training in culturally, and linguistically appropriate service delivery. Early childhood practitioners/early childhood service providers should develop participatory, collaborative partnerships with communities and utilize a variety of formal and informal mechanisms to facilitate

community and family-centered involvement to ensure that services are delivered in a manner that is consistent with the National Standards on Culturally and Linguistically Appropriate Services and/or the National Recommendations on Cultural and Linguistic Competence for the National Association for the Education of Young Children.

<http://minorityhealth.hhs.gov/templates/browse.aspx?lvl=2&lvlID=15> and

<http://www.naeyc.org/positionstatements/linguistic>

Services will include:

- Identification and recruitment of home providers caring for children birth through age five
- Fostering professional, supportive relationships between home-based care providers and community-based coaches or mentors
- Providing assistance, coaching, mentoring and support, by community-based coaches or mentors, to home care providers, as needed and appropriate, to increase the quality of child care that is provided and to assist home-based care providers toward appropriate regulation, if regulation is a goal of the provider
- Creating a program improvement plan with the provider, specific to each provider and the children they care for, that will serve as a roadmap for the provider to move towards higher quality of care and potentially towards licensure, if licensure is a goal for the provider
- Implementing a curriculum that is a strength-based approach based on the providers' needs and recommendations and will focus on safety, brain development, social-emotional developmental needs, positive guidance and discipline, nutrition, parent/caregiver relationships, language and literacy, appropriate learning activities, culture, and health and sanitary practices
- Developing training materials for providers that identify and utilize available resources
- Fostering partnerships between existing community agencies and entities so that training, information, services and other supports for home-based care providers can be provided at non-traditional settings and locations, such as public schools, and other "education" settings
- Coordinating with other First Things First funded programs such as Quality First, Early Literacy programs, and the First Things First State Competitive Kith and Kin project

## **Exhibit C**

### **STANDARD TERMS DEFINED**

As used in these Instructions, Special Terms and Conditions and Uniform Terms and Conditions, the terms listed below are defined as follows:

1. *"Application"* means bid, proposal, quotation or what is submitted in response to an RFGA.
2. *"Applicant"* means a person who responds to a RFGA.
3. *"Attachment"* means any item the RFGA that requires an Applicant to submit as part of the Application.
4. *"Contract"* means the combination of the RFGA, including the Instructions to Applicants, The Uniform and Special Terms and Conditions, and the Specifications and Statement of Scope of Work; the Application and any Application Clarifications; and any RFGA Amendments or Contract Amendments.
5. *"Contract Amendment"* means a written document signed by the Grants and Contracts Procurement Officer that is issued for making changes in the Contract.
6. *"Days"* means calendar days unless otherwise specified.
7. *"Exhibit"* means any item labeled as an Exhibit in the RFGA or placed in the Exhibits section of the RFGA. Exhibits are typically resource materials.
8. *"Grantee"* means any Applicant whose Application has been accepted and has been awarded a Grant with First Things First.
9. *"Grants and Contracts Procurement Specialist"* means the person, or his or her designee, duly authorized by First Things First to enter into and administer Contracts and make written determinations with respect to the Contract.
10. *"May"* indicates something that is not mandatory but permissible
11. *"RFGA"* means an a Request for Grant Application
12. *"RFGA Amendment"* means a written document that is signed by the Grants and Contracts Procurement Specialist and issued for making changes to the RFGA.
13. *"Shall, Must"* indicates a mandatory requirement. Failure to meet these mandatory requirements may result in the rejection of an offer.
14. *"Should"* indicates something that is recommended but not mandatory. If the Applicant fails to provide recommended information, the State will evaluate the offer without the information but reserves the right to clarify the recommended information.
15. *"State"* means the State of Arizona, Early Childhood Development and Health Board also known as First Things First who executes the Contract.
16. *"State Fiscal Year"* means the period beginning with July 1 and ending June 30.
17. *"Subcontract"* means any Contract, express or implied, between the Grantee and another party delegating or assigning, in whole or in part, the furnishing of any service required for the performance of the Contract.



## **Exhibit D**

### **SAMPLE CERTIFICATE OF INSURANCE**

Prior to commencing services under this contract, the Grantee must furnish the state certification from insurer(s) for coverages in the minimum amounts as stated below. The coverages shall be maintained in full force and effect during the term of this contract and shall not serve to limit any liabilities or any other Grantee obligations.

Name and Address of Insurance Agency:		Company Letter:	Companies Affording Coverage:		
		A			
		B			
Name and Address of Insured:		C			
		D			
LIMITS OF LIABILITY MINIMUM - EACH OCCURRENCE		COMPANY LETTER	TYPE OF INSURANCE	POLICY NUMBER	DATE POLICY EXPIRES
Bodily Injury  Per Person  Each Occurrence  Property Damage  OR  Bodily Injury and  Property Damage  Combined			Comprehensive General Liability Form  Premises Operations  Contractual  Independent Contractors  Products/Completed Operations Hazard  Personal Injury  Broad Form Property Damage  Explosion & Collapse (If Applicable)  Underground Hazard (If Applicable)		
Same as Above			Comprehensive Auto Liability Including Non-Owned (If Applicable)		
Necessary if underlying is not above minimum			Umbrella Liability		
Statutory Limits			Workmen's Compensation and Employer's Liability		
			Other		

State of Arizona and the Department named above are added as additional insureds as required by statute, contract, purchase order, or otherwise requested. It is agreed that any insurance available to the named insured shall be primary of other sources that may be available.

It is further agreed that no policy shall expire, be canceled or materially changed to affect the coverage available to the state without thirty- (30) days written notice to the State. This Certificate is not valid unless countersigned by an authorized representative of the insurance company.

Name and Address of Certificate Holder:

\_\_\_\_\_

\_\_\_\_\_

Date Issued: \_\_\_\_\_

Authorized Representative: \_\_\_\_\_

**END OF REQUEST FOR GRANT  
APPLICATION**

**# FTF-RC001-11-0266-00**